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<p>(21) International Application Number: PCT/US95/08567 (22) International Filing Date: 7 July 1995 (07.07.95) (30) Priority Data: 08/273,045 8 July 1994 (08.07.94) US (71) Applicants: GILEAD SCIENCES, INC. [US/US]; 353 Lakeside Drive, Foster City, CA 94404 (US). GLAXO WELLCOME INC. [US/US]; Five Moore Drive, Research Triangle Park, NC 27709 (US). (72) Inventors: DEPRINCE, Randolph, B.; 129 Hartland Court, Raleigh, NC 27614 (US). FACCHINE, Kevin, L.; 5421 Denberg Lane, Raleigh, NC 27606 (US). LEWIS, George, S.; 1 Fairbanks Circle, Durham, NC 27705 (US). LEWIS, Jason, G.; Apartment 8B, 2535 Ellsworth Avenue, Berkeley, CA 94704 (US). LIN, Kuei-Ying; 4774 Canvasback Common, Fremont, CA 94555 (US). MATTEUCCI, Mark, D.; 1524 Columbus Avenue, Burlingame, CA 94010 (US). MOOK, Robert, A., Jr.; 1000 Holly Creek Lane, Chapel Hill, NC 27516 (US). WAGNER, Richard, W.; 1228 Drake Avenue, Burlingame, CA 94010 (US). (74) Agents: MUENCHAU, Daryl, D. et al.; Gilead Sciences, Inc., 353 Lakeside Drive, Foster City, CA 94404 (US).</p>		<p>(81) Designated States: CA, JP, European patent (AT, BE, CH, DE, DK, ES, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE). Published <i>With international search report.</i></p>
<p>(54) Title: CATIONIC LIPIDS FOR DELIVERY OF NUCLEIC ACIDS TO CELLS (57) Abstract The present invention is directed to new cationic lipids and intermediates in their synthesis that are useful for transfecting nucleic acids or peptides into prokaryotic or eukaryotic cells. The lipids comprise one or two substituted arginine, lysine or ornithine residues, or derivatives thereof, linked to a lipophilic moiety. The lipids form a complex when mixed with polyanions such as nucleic acids or peptides. The complexes permit efficient transfer of polyanions into cells, usually without significant toxicity to the cells.</p>		

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CATIONIC LIPIDS FOR DELIVERY OF NUCLEIC ACIDS TO CELLS

Background of the Invention

5 The present invention relates to new cationic lipids and intermediates therefor as well as their use for delivering polyanionic polymers into eukaryotic and prokaryotic cells.

 Lipids that are useful for transfecting nucleic acids into cells and their use have been described (WO 94/05624; WO 94/00569; WO 93/24640; WO 91/16024; 10 WO 90/11092; U.S. Patent Nos. 5,283,185, 5,171,687 and 5,286,634; Felgner et al J. Biol. Sci. (1994) 269:2550; Nabel et al Proc. Natl. Acad. Sci. (U.S.A.) (1993) 90:11307; Nabel et al Hum. Gene Ther. (1992) 3:649; Remy et al Bioconjugate Chem. (1994) 5:647-654.

15 Objects of the Invention

 It is an object of the invention to provide cationic lipids and intermediates for making such lipids.

 Another object of the invention is to provide cationic lipids that are suitable for delivering polyanionic polymers such as nucleic acids into cells in 20 the presence of serum or blood.

 Another object of the invention is to provide cationic lipids that are suitable for efficiently delivering polyanionic polymers such as nucleic acids into cells using cells at a cell confluency of about 50% to 100%.

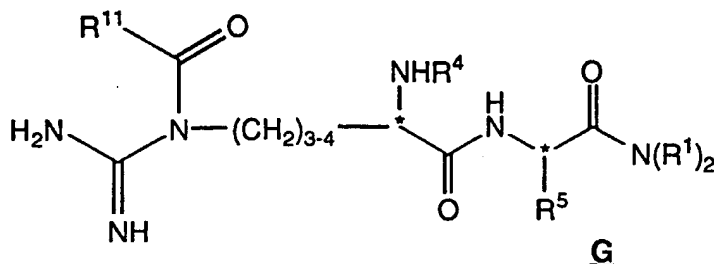
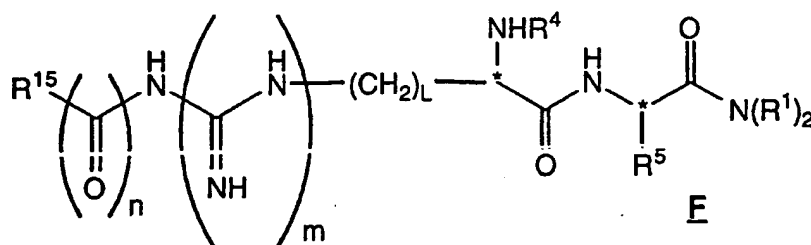
 Another object of the invention is to provide cationic lipids that are 25 suitable for efficiently delivering a large amount of polyanionic polymers such as nucleic acids or peptides into cells.

 Another object of the invention is to provide cationic lipids having improved pharmacological or other properties such as, improved storage stability, reduced toxicity or increased efficacy in the presence of serum.

30

Summary of the Invention

 The invention is directed to cationic lipids and intermediates in their synthesis having the structures F and G



5

wherein each R^1 is independently alkyl (10-22 C, i.e., having 10 to 22 carbon atoms) or a mono unsaturated alkenyl (10-22 C) group;

each R^4 is independently hydrogen or is a protecting group;

R^5 is H, CH_3 , $CH(CH_3)_2$, $CH_2CH(CH_3)_2$, $CH(CH_3)CH_2CH_3$, $CH_2C_6H_5$,

10 $CH_2C_6H_4$ -p-OH, CH_2OH , $CH(OH)CH_3$, $(CH_2)_4NHR^4$, $(CH_2)_3NHR^4$ or $(CH_2)_3NR^4C(NH)NHR^4$;

R^{11} is alkyl; alkyl substituted with halogen, hydroxyl, $S(O)_2$, O-alkyl or O-aryl; alkenyl; alkenyl substituted with halogen, hydroxyl, $S(O)_2$, O-alkyl or O-aryl; aryl; aryl substituted with halogen, hydroxyl, alkyl, or alkyl substituted with
 15 halogen, hydroxyl, $S(O)_2$, O-alkyl or O-aryl; heteroaryl; heteroaryl substituted with halogen, hydroxyl, alkyl, or alkyl substituted with halogen, hydroxyl, $S(O)_2$, O-alkyl or O-aryl; $N(H)alkyl$; $N(alkyl)_2$ wherein each alkyl group is independently chosen; O-alkyl; O-aryl; alkylaryl; O-alkylaryl; alkylheteroaryl; or O-alkylheteroaryl;

20 R^{15} is alkyl; alkyl substituted with halogen, hydroxyl, $S(O)_2$, O-alkyl or O-aryl; alkenyl; alkenyl substituted with halogen, hydroxyl, $S(O)_2$, O-alkyl or O-aryl; aryl; aryl substituted with halogen, hydroxyl, alkyl, or alkyl substituted with halogen, hydroxyl, $S(O)_2$, O-alkyl or O-aryl; heteroaryl; heteroaryl substituted with halogen, hydroxyl, alkyl, or alkyl substituted with halogen, hydroxyl, $S(O)_2$, O-alkyl or O-aryl; $N(H)alkyl$; $N(alkyl)_2$ wherein each alkyl group is
 25 independently chosen; O-alkyl; O-aryl; alkylaryl; O-alkylaryl; alkylheteroaryl; or O-alkylheteroaryl;

L is an integer having a value of 2, 3, 4, 5, 6 or 7;

m is an integer having a value of 0 or 1;

n is an integer having a value of 0 or 1;

provided that when L is 3 or 4, m is 0, n is 1, each R¹ is independently alkyl (12-22C) or alkenyl (12-22C), and R¹⁵ together with the C(O) to which it is linked,
5 is a protecting group, then R⁴ is hydrogen;

provided that when L is 3, m is 1, n is 1, each R¹ is independently alkyl (12-22C) or alkenyl (12-22C), and R¹⁵ together with the C(O) to which it is linked, is a protecting group, then R⁴ is hydrogen; and

provided that when each R¹ is independently alkyl (12-22C) or alkenyl (12-22C), and R¹¹ is a protecting group, then R⁴ is hydrogen;

10 and the salts, solvates, resolved and unresolved enantiomers and diastereomers thereof.

Detailed Description of the Invention

15 As used herein, and unless modified by the immediate context:

1. The terms alkyl and alkenyl mean linear, branched, normal and alicyclic hydrocarbons. Alkyl includes methyl, ethyl, propyl, cyclopropyl, cyclobutyl, isopropyl, n-, sec-, iso- and tert-butyl, pentyl, isopentyl, 1-methylbutyl, 1-ethylpropyl, neopentyl, and t-pentyl. Ranges of carbon atoms for a given
20 group, such as alkyl (1-4C), mean alkyl groups having 1, 2, 3 or 4 carbon atoms can be present at the indicated position. Similarly, a group specified as alkyl (1-8C), means alkyl groups having 1, 2, 3, 4, 5, 6, 7 or 8 carbon atoms can be present at the indicated position. Thus, for example, the terms alkyl and alkyl (1-8C) includes n-hexyl, cyclohexyl and structural and stereoisomers of n-hexyl.

25 2. Alkenyl means branched, normal or cyclic hydrocarbons containing at least 1 (generally 1, 2 or 3) cis or trans oriented conjugated or unconjugated double bond, including allyl, ethenyl, propenyl, isopropenyl, 1-, 2- and 3-butenyl, 1- and 2-isobutenyl and the like.

3. Aryl or heteroaryl means a resonant cyclic or fused polycyclic ring
30 structure containing at least one 3-6 membered ring containing ring atoms that are solely carbon or carbon and one, two or three N-, S- or O- heteroatoms, including for example phenyl, 2- and 4-imidazolyl, 2-, 4- and 5-oxazolyl, 2-, 3-, 4- or 5-isoxazolyl, 2-, 3-, 4- or 5-furazanyl, 2-, 4- and 5-thiazolyl, 3-, 4- and 5-isothiazolyl, 3- and 4-pyrazolyl, 2-, 3- and 4-pyridinyl or 2-, 4- and 5-pyrimidinyl,
35 1-, 2-, 3- or 4- azetidine, 2-, 3-, 4-, or 5-thiophene, 2-, 3-, 4-, or 5-furanyl, 1-, 2-, 3-, 4-, or 5-pyrrolyl and analogs thereof in which a double bond has been shifted, e.g. 2H-pyrrole, or has been saturated, e.g. 2-pyrrolinyl or 3-pyrazolinyl. A nitrogen atom in a heteroaryl structure can be present as -N= or as -NH-. Aryl and

heteroaryl groups will generally comprise one, two or three 5-membered or 6-membered ring structures.

As used herein, halogen includes chlorine, fluorine, bromine and iodine.

Groups such as heteroaryl having 1, 2, or 3 ring O, N or S atoms, do not
5 include obviously unstable combinations such as peroxides.

Exemplary R^1 have the structures $-(CH_2)_{19}CH_3$, $-(CH_2)_{17}CH_3$, $-(CH_2)_{15}CH_3$,
 $-(CH_2)_{14}CH_3$, $-(CH_2)_{13}CH_3$, $-(CH_2)_{12}CH_3$, $-(CH_2)_{11}CH_3$, $-(CH_2)_{10}CH_3$,
 $-(CH_2)_5CH=CH(CH_2)_7CH_3$ and $-(CH_2)_8CH=CH(CH_2)_7CH_3$. The alkenyl species are
10 in a cis or trans configuration at the double bond. In general, each R^1 on a given molecule will have the same structure, although they may be different. R^1 can comprise, for example, alkyl (12-16C) groups. R^1 typically is a normal alkane such as $n-C_{18}H_{37}$, $n-C_{16}H_{33}$ or $n-C_{14}H_{29}$.

Ordinarily, in compounds of structures F and G, R^4 is H, although
 R^4 is an amine protecting group in intermediates used to synthesize cationic
15 lipids to be formulated with polyanions such as nucleic acids. When R^4 is a protecting group then any conventional protecting group is useful. See for example Green et al., (op. cit.) and further discussion in the schemes.

R^5 typically is H, but also ordinarily may be CH_3 , $CH(CH_3)_2$, $CH_2CH(CH_3)_2$,
 $CH(CH_3)CH_2CH_3$ or $CH_2C_6H_5$.

20 In some cases, R^{15} or R^{11} , together with the group to which they are attached, e.g., when linked to an adjacent C(O) group, can be an amine protecting group. Thus, R^{15} or R^{11} , together with the group to which they are attached, can comprise a protecting group or they may comprise a group that is not a protecting group. For example, where R^{15} is $-O-C(CH_3)_3$ and is linked to C(O), both groups
25 together comprise t-BOC when n in structure F is one. An alkyl-aryl R^{15} or R^{11} can, for example, together with the C(O) group to which they are linked, comprise the protecting group FMOC, which contains a tricyclic aryl group. In such cases, the protecting group formed by R^{11} or R^{15} and the group to which they are linked, will usually be differentially removable from R^4 that are present
30 on intermediates used to synthesize the final molecule.

However, where R^{11} or R^{15} and the group to which they are linked, are the same as R^4 , the final molecule can be obtained by partial deprotection and separation of partially and fully deprotected species. In some cases, an R^4 group such as t-BOC is more labile at some positions than at others. For example, t-
35 BOC at R^4 in structure F compounds where L is 3, m is 1, n is 1 and R^5 is hydrogen, is more acid labile than t-BOC at $R^{15}-C(O)-$ and monoprotected species at $R^{15}-C(O)-$ is obtained by acid hydrolysis in 2-4N HCl in organic solvent at room temperature for about 2 hours. Complete removal of t-BOC at $R^{15}-C(O)-$ is

accomplished by incubation in 2-4N HCl at room temperature for about 16-24 hours.

Exemplary R¹¹ and R¹⁵ include (1) alkyl (1-8C), (2) alkyl (1-8C) substituted with halogen, hydroxyl, ether or S(O)₂ ("substituted alkyl"), (3) alkenyl (1-8C), (4) alkenyl (1-8C) substituted with halogen, hydroxyl, ether or S(O)₂ ("substituted alkenyl"), (5) aryl, (6) aryl substituted with halogen, hydroxyl, alkyl or substituted alkyl ("substituted aryl"), (7) heteroaryl, (8) heteroaryl substituted on a ring carbon with halogen, hydroxyl, alkyl or substituted alkyl, (9) heteroaryl that has 1, 2, or 3 ring carbons replaced with O, N or S, but where no more than a total of four O, N and S atoms are present, (10) N-alkyl (1-8C), (11) N-substituted alkyl (1-8C), (12) O-alkyl (1-8C), (13) O-substituted alkyl (1-8C), (14) alkyl-aryl (1-4C alkyl), (15) alkyl-heteroaryl (1-4C alkyl), (16) alkyl-substituted aryl (1-4C alkyl), (17) alkyl-heteroaryl (1-4C alkyl) substituted on a ring carbon with halogen, hydroxyl, alkyl or substituted alkyl, (18) alkyl-heteroaryl (1-4C alkyl) that has 1, 2, or 3 ring carbons replaced with O, N, NH or S (including species where no more than a total of four or a total of no more than five O, N and S atoms are present).

Exemplary R¹¹ and R¹⁵ have the structures -CH₃, -CH₂CH₃, -CH₂CH₂CH₃, -CH(CH₃)CH₃, -CH₂CH₂CH₂CH₃, -CH(CH₃)CH₂CH₃, -CHCH₂(CH₃)CH₃, -C(CH₃)₃, -CH₂C(CH₃)₃, -C₆H₅, -O-C(CH₃)₃, -O-CH(CH₃)₂, -O-CH₃, -O-CH₂CH₃, -O-CH₂CH₂CH₃, -O-CH(CH₃)CH₂CH₃, -O-CH₂CH₂CH₂CH₃, -CF₃, -CH₂-O-CH₃, -CH₂-S(O)₂-CH₃, -NH(CH₃), -NH(CH₂CH₃), -NH(CH₂CH₂CH₃), -NH(CH₂CH₂CH₂CH₃), -NHC(CH₃)₃, -N(alkyl)₂ (including -N(CH₃)₂, -N(CH₂CH₃)₂, -N(CH₂CH₂CH₃)₂, -N(CH₂CH₂CH₂CH₃)₂, -N[C(CH₃)₃]₂) and unsaturated analogs thereof and the like.

In compounds where R¹¹ or R¹⁵ is -N(alkyl)₂, both alkyl groups will usually be the same, although they can differ. Exemplary R¹¹ or R¹⁵ are alkyl (having 1, 2, 3, 4, 5, 6, 7 or 8 carbon atoms), O-alkyl (having 1, 2, 3, 4, 5, 6, 7 or 8 carbon atoms), alkyl (C3-6), O-alkyl (C3-6), and the like.

Generally, R¹¹ and R¹⁵ groups together with the C(O) group to which they are linked are removable by hydrolysis, but it is also within the scope of this invention that these groups be stable to hydrolysis, e.g. in mildly acidic conditions such as pH 3-6.

In embodiments of this invention, compositions containing compounds of structures F or G are free of otherwise identical compounds in which the basic groups are unsubstituted with R¹¹, R¹⁵, or R⁴ groups, as the case may be. Alternatively, compositions containing compounds of structures F or G or free of otherwise identical compounds which do not contain any amino protecting substituents. In other embodiments, the compositions contain less than about

1%, 0.5% or 0.1% by weight of such unsubstituted analogues in relation to the weight of the substituted congener.

L generally is normal propyl or butyl, but any normal alkyl having from 2 to 7 carbon atoms is satisfactory.

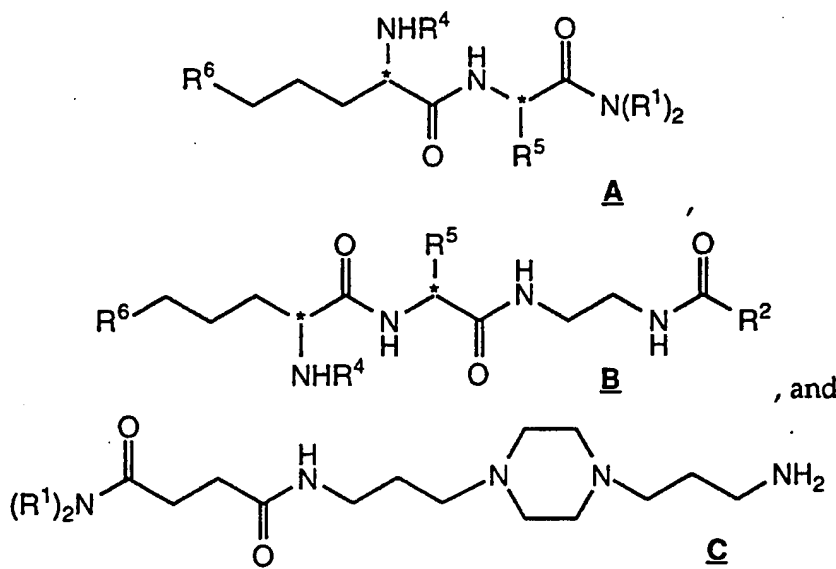
5 The variable m typically is 1.

The variable n generally is 1.

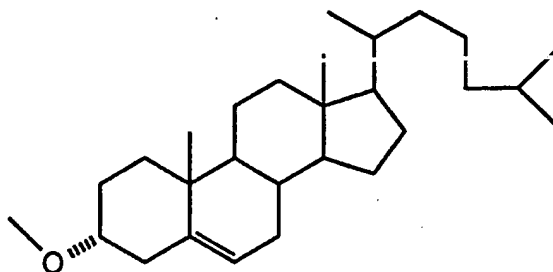
The usual embodiments are those of structure E where R^4 is H, m is 1, and R^5 is as described immediately above.

10 The compounds of the invention include enriched or resolved optical isomers at any or all asymmetric atoms. For example, the chiral centers apparent from the depictions are provided as the chiral isomers or racemic mixtures. Both racemic and diastereomeric mixtures, as well as the individual optical isomers isolated or synthesized, substantially free of their enantiomeric or diastereomeric partners, are all within the scope of the invention. The racemic mixtures are
 15 separated into their individual, substantially optically pure isomers through well-known techniques such as, for example, the separation of diastereomeric salts formed with optically active adjuncts, e.g., acids or bases followed by conversion back to the optically active substances. In most instances, the desired optical isomer is synthesized by means of stereospecific reactions, beginning with
 20 the appropriate stereoisomer of the desired starting material. Methods and theories used to obtain enriched and resolved isomers have been described (see for example, J. Jacques et al, "Enantiomers, Racemates and Resolutions." Kreiger, Malabar, Florida, 1991).

25 Cationic lipids having the structure A, B or C



wherein R^2 has the structure

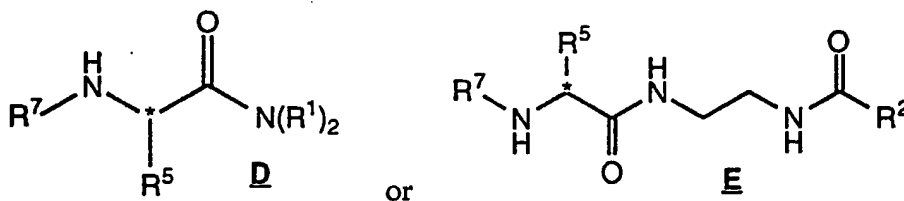


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wherein R^6 is NHR^4 , CH_2NHR^4 or $NR^4C(NH)NHR^4$, are suitable compounds for efficiently transfecting polyanions into cells.

Intermediates that are useful for synthesizing these cationic lipids have the structure D or E

10



15

wherein R^7 is hydrogen or a protecting group, provided that for compounds containing both R^4 and R^7 , such as D or E wherein R^5 consists of a group such as $(CH_2)_3NR^4C(NH)NHR^4$, R^7 can be removed without removing R^4 .

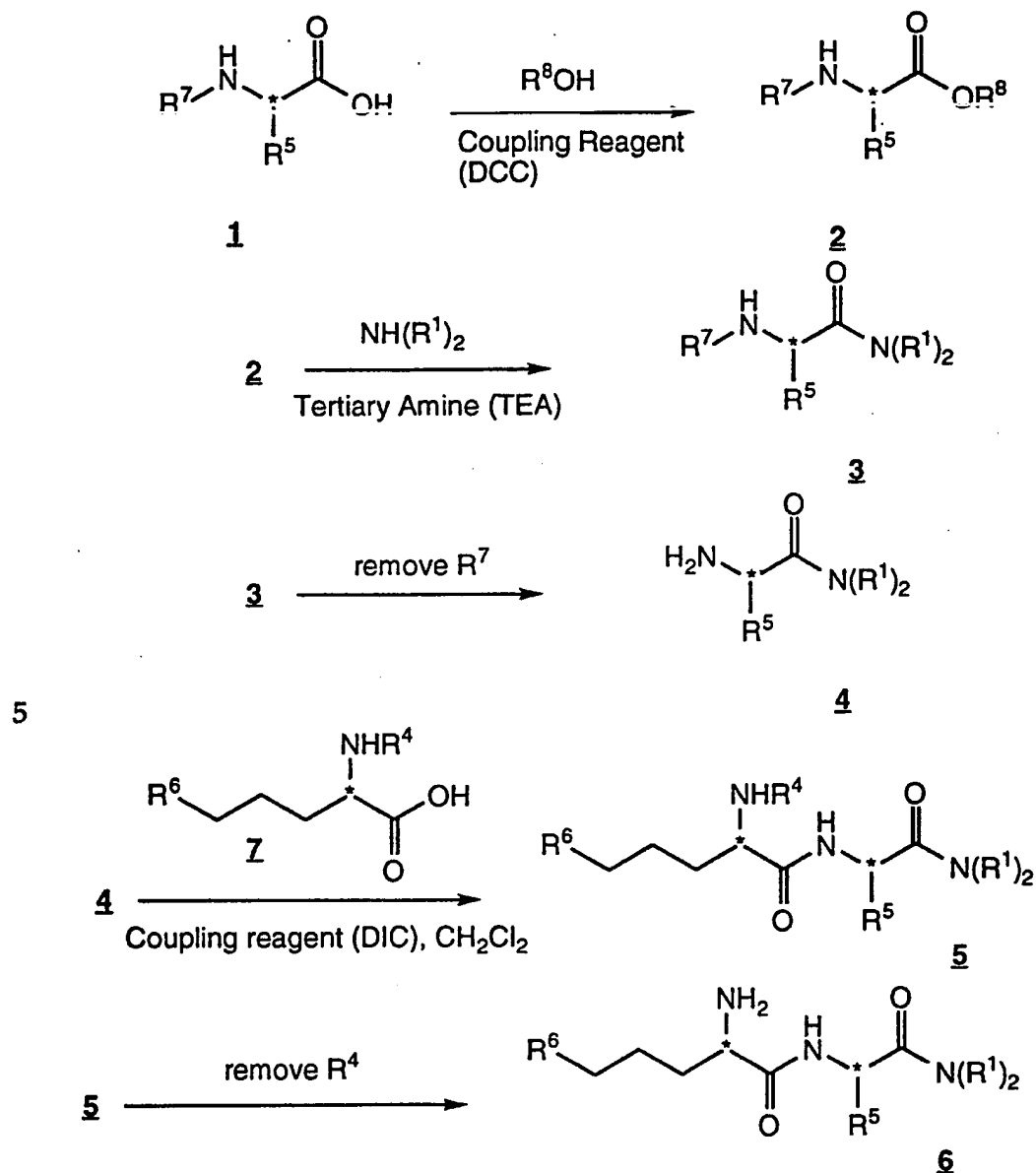
Positions designated "*" are carbon atoms having substituents in the R, S or RS configuration.

The invention lipids E and G form a complex with polyanions such as nucleic acids or peptides at least through attraction between the positively charged lipid and the negatively charged polyanion. The complexes may comprise multilamellar or unilamellar liposomes or other particles. Hydrophobic interactions between the cationic lipids and the hydrophobic substituents in the polyanion such as aromatic and alkyl groups may also facilitate complex formation. The invention lipids efficiently deliver nucleic acids or peptides into cells in the presence of serum and thus are suitable for use *in vivo* or *ex vivo*.

25

The lipids and their intermediates are synthesized as shown in the schemes below.

SCHEME 1



The unprotected carboxyl group shown in structure 1 of scheme 1, is
 10 activated by reacting 1, where R^7 is a protecting group, with a suitable activating
 group (R^8OH) in the presence of a coupling reagent such as
 dicyclohexylcarbodiimide (DCC), diisopropylcarbodiimide (DIC), N-
 hydroxybenzotriazolephosphoryl chloridate (BOP-Cl), isobutyl chloroformate,
 N,N'-carbonyldiimidazole or the like to form the activated ester group in 2 using
 15 previously described methods (see, for example, J. March, editor, Advanced
Organic Chemistry, Wiley & Sons, third edition, 1985, p 348-351). Any amine

groups at R⁵ will also be protected with an R⁴ protecting group. Such activating groups linked to the amino acid (-OR⁸) function as a leaving group for synthesizing 3 or 11. Suitable R⁸OH activating groups include N-hydroxysuccinimide (NHS), p-nitrophenol, pentachlorophenol, pentafluorophenol and the like. The activated ester is reacted with approximately one equivalent each of a secondary amine and a tertiary amine such as ethyldiisopropyl-amine or triethylamine (TEA) to yield structure 3. The amino protecting group R⁷ is removed to yield 4 which is coupled with a compound of structure 7 to yield 5, a protected lipid. The R⁴ amino protecting group(s) present on the protected lipid 5 is removed to yield the free lipid.

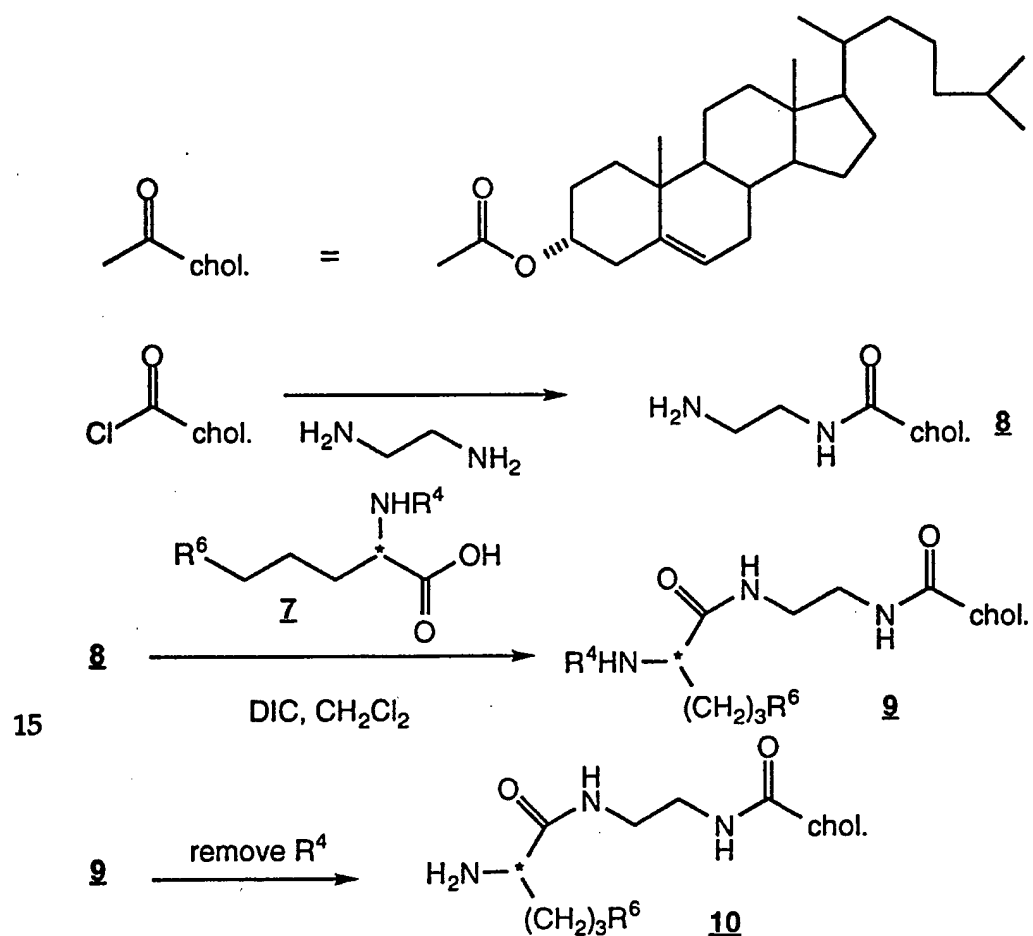
Compounds of structure 2 shown in scheme 1 wherein R⁵ contains an amine group(s) will also have an R⁴ amine protecting group in synthesizing 5 so as to avoid forming adducts at the R⁵ amino groups. In these compounds, the R⁷ amine protecting group and the R⁴ amine protecting group will be different so that R⁷ can be removed without removing R⁴, i.e., R⁷ and R⁴ are different and can be differentially removed from a given molecule. In general, any R⁴ present in 7 will be the same as R⁴ in 2.

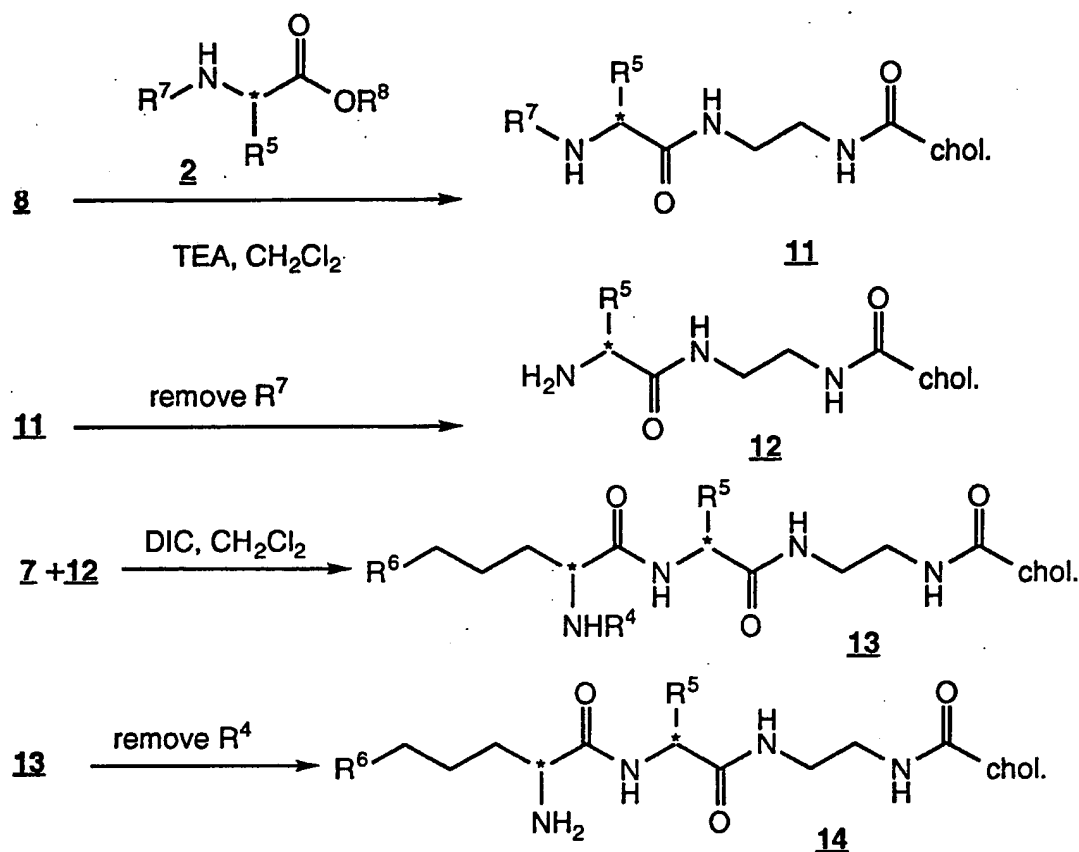
The R⁴ and R⁷ amine protective groups will be selected from groups that have been described (see for example, T.W. Greene et al, editors, Protective Groups in Organic Chemistry, second edition, 1991, Wiley, p 309-405, p 406-412 and p 441-452). Amine protective groups such as benzyl carbamate (Cbz), p-methoxybenzyl carbamate (Moz), p-bromobenzyl carbamate, 9-fluorenylmethyl carbamate (Fmoc), or 2,4-dichlorobenzyl will be used where an acid stable protective group is desired while protective groups such as t-butyl carbamate (t-BOC) or 1-adamantyl carbamate (Adoc) will be used where a base stable or nucleophile stable group is desired. Protective groups will be used to protect amine groups when coupling reactions are carried out such as in conversion of 1 to 2 or 4 to 5. Protective groups such as 2-(2'- or 4'-pyridyl)ethyl carbamate will be used where a group stable to catalytic palladium-carbon hydrogenation or to trifluoroacetic acid is desired. The R⁴ group can thus be selected from a diverse group of known protective groups as needed. Exemplary R⁴ and R⁷ groups that can be present in 2 include the following pairs of protective groups. Other suitable R⁴ and R⁷ pairs are determined experimentally by routine methods using the relative reactivity information of the different amine protective groups described by Greene et al, supra at p 406-412 and p 441-452. Acceptable exemplary R⁴ and R⁷ pairs are shown below.

R^4	R^Z	R^Z cleavage condition
t-BOC	Cbz	hydrogenation
Cbz	t-BOC	acid hydrolysis
5 FMOC	Cbz	hydrogenation
Adoc	Cbz	hydrogenation
t-BOC	FMOC	base hydrolysis
FMOC	t-BOC	acid hydrolysis

10 Lipids containing cholesterol are synthesized as shown in scheme 2.

SCHEME 2





5

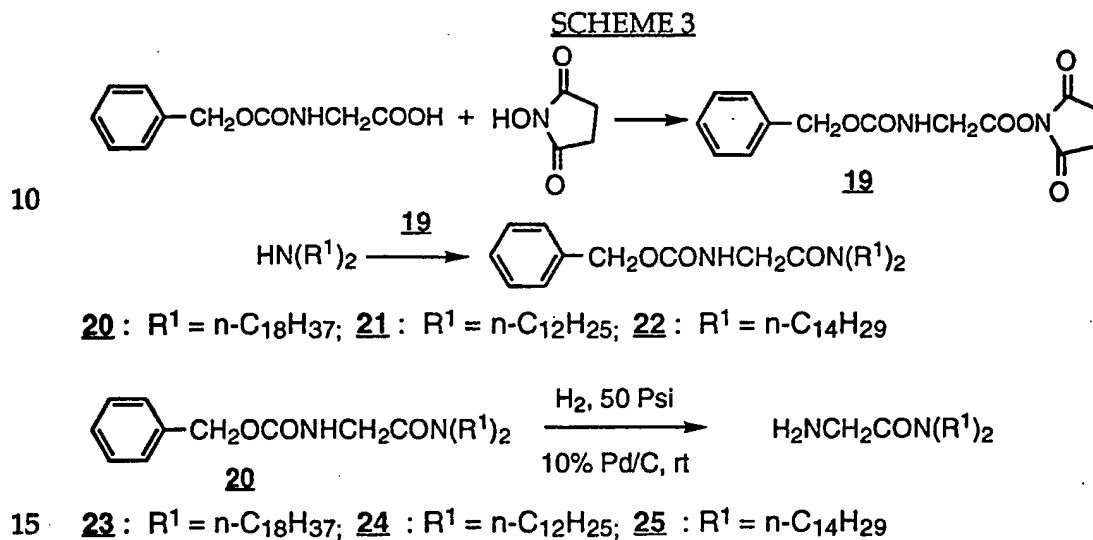
Cholesteryl chloroformate (Aldrich, Cat. No. C7,700-7) is coupled to ethylenediamine in organic solvent (CH_2Cl_2) at 0-24° C to obtain **8**. **8** is converted to the protected lipid intermediate **9** by reaction with **7** or is converted to **11** by reaction with **2**. The protected lipid intermediates **9**, **11** and **13** are deprotected as shown in scheme 2 to obtain free lipids **10** and **14** or the partially deprotected lipid (when an amine group is present at R^5) **12**.

Lipid intermediates of structure **11** contain both R^4 and R^7 amine protective groups. As described for intermediates in scheme 1 that contain both R^4 and R^7 , the protective groups will be differentially removable from the protected lipid intermediate, **11**. The same pairs of differentially removable amine protective groups can be used as described. The R^4 group present in **7** will generally be the same as R^4 present in **2** which permits removing all R^4 from **13** using a single set of conditions.

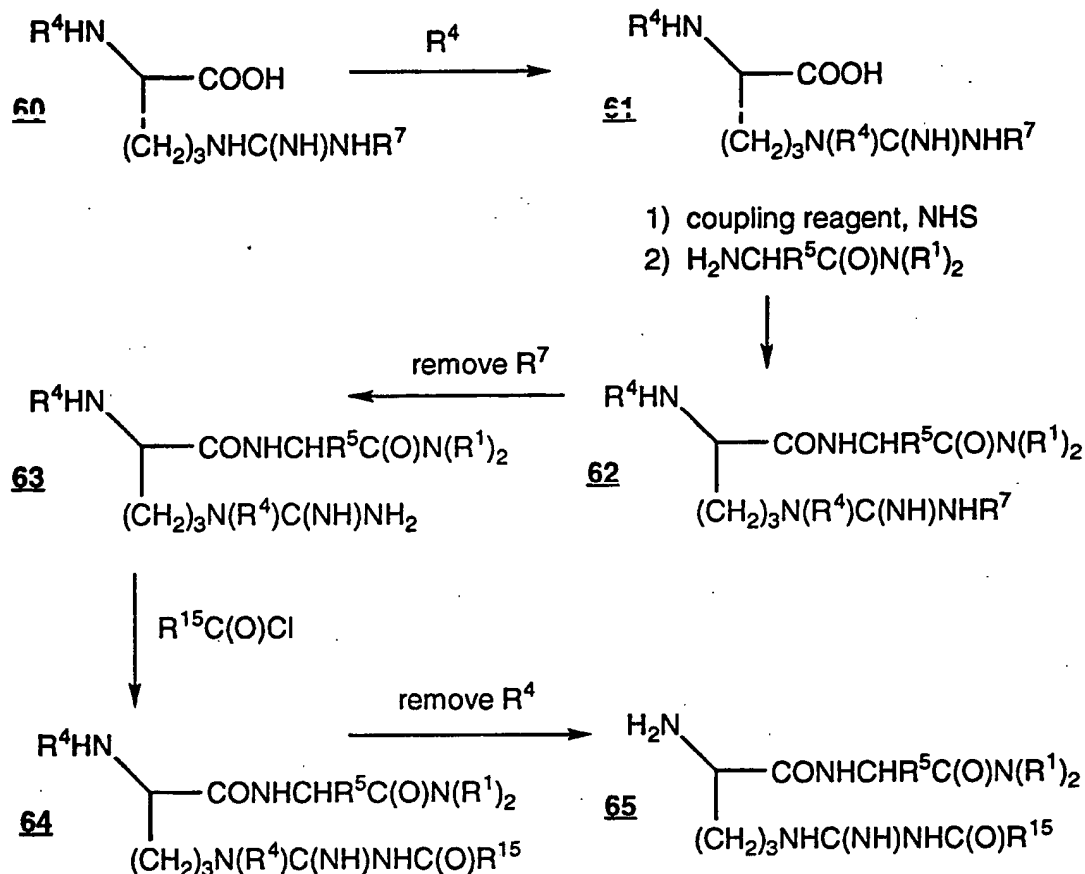
Intermediates of structure $\text{HN(R}^1\text{)}_2$ can be synthesized by reacting an acyl chloride of structure ClC(O)R^9 wherein R^9 is alkyl (11-21 C) or mono unsaturated alkenyl (11-21 C), with H_2NR^1 to obtain the intermediate $\text{HN(R}^1\text{)[C(O)R}^9\text{]}$ which is reduced (using, for example, lithium aluminum hydride) to yield $\text{HN(R}^1\text{)}_2$. The acyl chlorides are obtained by reaction of the free fatty acid with, for example,

oxalyl chloride, SOCl_2 or PCl_3 . The H_2NR^1 intermediate is obtained by reacting ClC(O)R^9 with ammonia gas (at about 0°C). In addition, many $\text{R}^9\text{C(O)Cl}$ chlorides and H_2NR^1 amines are available commercially (Aldrich Chemical, Kodak, K&K Chemicals).

- 5 Cationic lipids of structure **F** are synthesized as shown in schemes 3 and 3A and as described in detail in example 1, or by modification of the synthesis route used to prepare exemplary compounds **23-25**.



SCHEME 3A

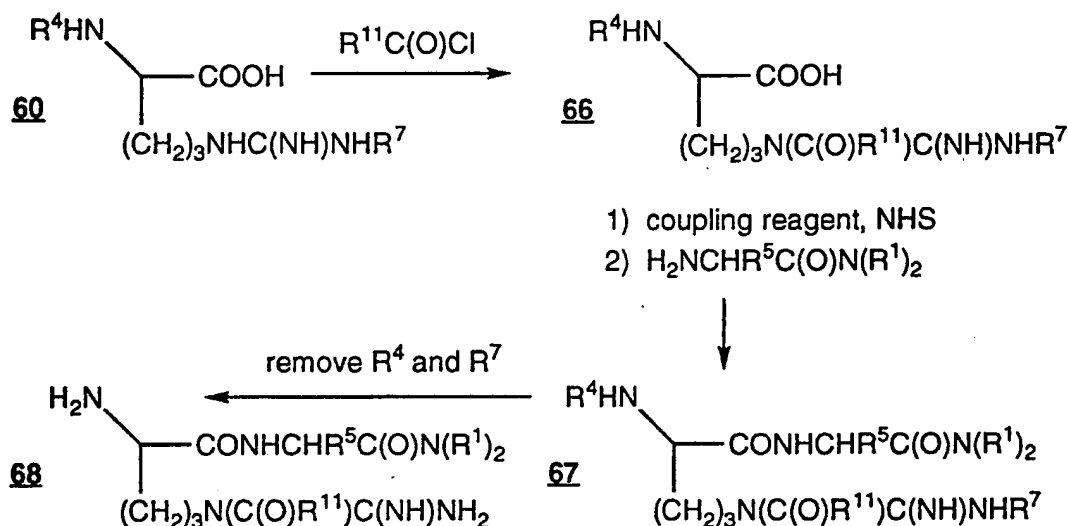


Partially protected compound **60** is fully protected using protecting group R^4 . R^4 as shown in the first step represents an unreacted form of the protecting group. Thus, where R^4 is t-BOC, the compound used in the first step would be (t-BOC)₂O or if R^4 is FMOC, the compound used could be the chloride (FMOC-Cl). Such protecting groups have been described (Greene, *ibid*). The starting material **60** is obtained commercially, e.g. compound **45** of example 21, or can be prepared from L-, D- or DL-arginine using known protecting groups R^4 and R^7 according to standard methods (Greene, *ibid*). **61** is coupled with $\text{NH}_2\text{CH}_2\text{C}(\text{O})\text{N}(\text{R}^1)_2$ to yield the protected lipid **62** using a coupling reagent such as DCC, DIC or the like. The R^7 protecting group is then removed from **62** to yield **63**, followed by reaction of **63** with $\text{R}^{15}\text{C}(\text{O})\text{Cl}$ to obtain the protected lipid compounds **64**. The protected lipids are then deprotected to yield the final product **65**, which can be conveniently obtained as a salt including a hydrogen halide (HCl, HBr, etc) or other biologically compatible or nontoxic salt. Partially deprotected intermediates can be obtained by the use of protecting groups that are removed under different conditions, e.g., t-BOC and CBZ. Partially deprotected

intermediates can also be obtained from a compound having two or more of a single type of protecting group by conducting a deprotection reaction for a period of time that is insufficient to fully deprotect the molecule and separating the different partially deprotected species by e.g., HPLC or TLC. Synthesis of analogous compounds containing a 4 methylene chain instead of the 3 methylene chain shown in scheme 3A, is accomplished using lysine as a starting material and reacting α -amino protected lysine with protected thiourea to obtain the analog of 60. This compound is then suitably protected and used as shown.

Cationic lipids of structure G are synthesized as shown in scheme 4.

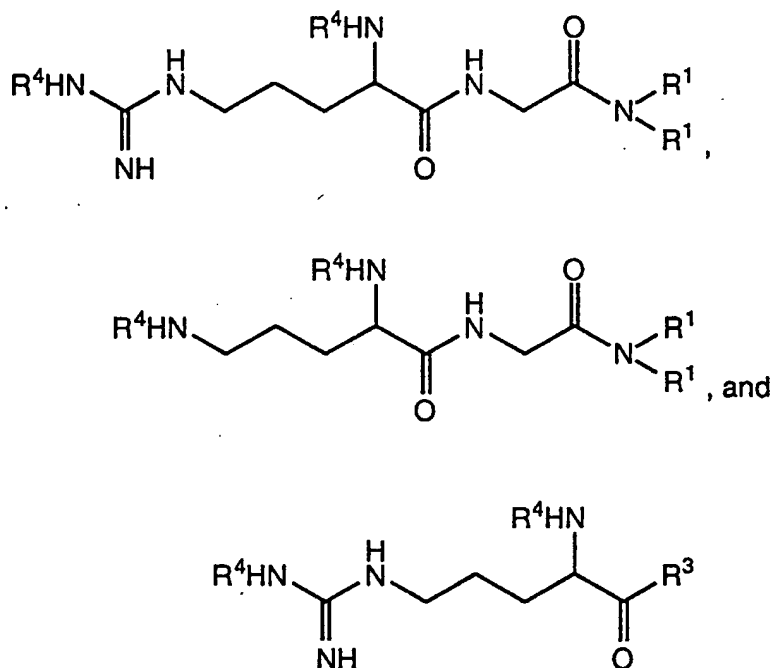
SCHEME 4



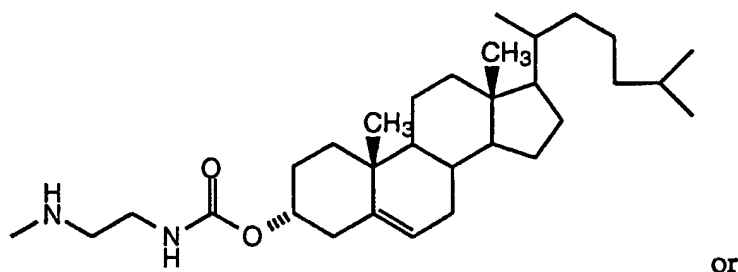
Compound 60 is reacted with $\text{R}^{11}\text{C}(\text{O})\text{Cl}$ to obtain 66, followed by substitution with the R^1 substituted amine to obtain 67. The protecting groups present on 67 are deprotected in two steps by standard methods to obtain 68, either R^4 or R^7 first. Intermediates monoprotected with R^4 or R^7 are isolated using conventional methods. Compounds analogous to 60 but containing a single species of protecting group, such as t-BOC, at both protected positions can also be used as shown in scheme 4, and protecting group removal in the last step would be accomplished in one step for both groups using the same reaction condition.

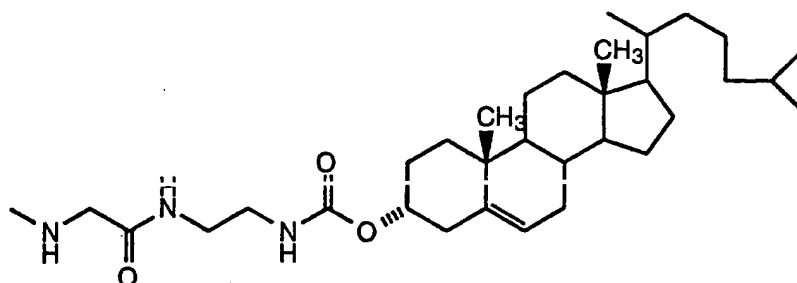
To the extent any compound of this invention cannot be produced by one of the foregoing schemes other methods will be apparent to the artisan referring to conventional methods and the relevant teachings contained herein (see for instance Liotta et al. "Compendium of Organic Synthesis Methods" (John Wiley & Sons, New York), Vol. 1, Ian T. Harrison and Shuyen Harrison, 1971; Vol. 2, Ian T. Harrison and Shuyen Harrison, 1974; Vol. 3, Louis S. Hegedus and Leroy

- Wade, 1977; Vol. 4, Leroy G. Wade, Jr., 1980; Vol. 5, Leroy G. Wade, Jr., 1984; and Vol. 6, Michael B. Smith; March, J., "Advanced Organic Chemistry, Third Edition", (John Wiley & Sons, New York, 1985); Saul Patai, "The Chemistry of the Amino Group. Volume 4" (Interscience, John Wiley & Sons, New York, 1968); Saul Patai, "Supplement F. The Chemistry of Amino, Nitroso and Nitro Compounds and their Derivatives, Parts 1 and 2" (Interscience, John Wiley & Sons, New York, 1982); as well as "Comprehensive Organic Synthesis. Selectivity, Strategy & Efficiency in Modern Organic Chemistry. In 9 Volumes", Barry M. Trost, Editor-in-Chief (Pergamon Press, New York, 1993 printing).
- 10 Exemplary invention cationic lipids and their synthetic intermediates have the structures



- 15 wherein R¹ and R⁴ have the meanings given, and R³ is a substituted cholesteryl moiety having the structure





The salts include pharmaceutically or physiologically acceptable non-toxic salts of these compounds. Such salts may include those derived by combination of appropriate cations such as alkali and alkaline earth metal ions or ammonium and quaternary amino ions with the acid anion moiety of the phosphate or phosphorothioate acid group present in polynucleotides. In addition salts may be formed from acid addition of certain organic and inorganic acids with basic centers of the purine, specifically guanine, or pyrimidine base present in polynucleotides. Suitable salts of the invention cationic lipids include acid addition salts such as HCl, HBr, HF, HI, H₂SO₄, and trifluoroacetate. The salts may be formed from acid addition of certain organic and inorganic acids, e.g., HCl, HBr, H₂SO₄, amino acids or organic sulfonic acids, with basic centers, typically amines, or with acidic groups. The compositions herein also comprise compounds of the invention in their un-ionized, as well as zwitterionic forms.

Cationic lipid-polyanionic polymer complexes are formed by preparing lipid particles consisting of either (1) an invention cationic lipid or (2) an invention cationic lipid-colipid mixture, followed by adding a polyanionic polymer to the lipid particles at about room temperature (about 18 to 26° C). Ordinarily the invention lipid is a lipid of structures F or G in which R⁴ is H, i.e. in which the terminal amino is substituted with R¹¹ or R¹⁵ as the case may be. If the R¹¹ or R¹⁵ group is not stable to long-term storage, e.g. t-BOC at low pH, then one may select an R¹¹ or R¹⁵ group that is less susceptible to hydrolysis (e.g. methyl, isopropyl, O-methyl or O-isopropyl), or the lipid is formulated under conditions that will enhance storage stability. In the case of t-BOC-substituted compounds this will be adjustment of the storage pH to neutral or mildly alkaline conditions, e.g., pH 7-8. In general, conditions will be chosen that are not conducive to deprotection when R¹¹ or R¹⁵ are protecting groups. The mixture is then allowed to form a complex over a period of about 10 min to about 20 hours, with about 15 to 60 min most conveniently used. The complexes may be formed over a longer period, but additional enhancement of transfection efficiency will usually not be gained by a longer period of complexing. A

phospholipid such as DOPE is generally used as a colipid with the invention lipids to enhance the efficiency of polyanion delivery into cells. Additional colipids that are suitable for preparing lipid complexes with the invention cationic lipids are dimyristoylphosphatidylethanolamine, 5 dipalmitoylphosphatidyl-ethanolamine, palmitoyl-oleoylphosphatidylethanolamine, cholesterol, distearoylphosphatidylethanolamine, phosphatidylethanolamine covalently linked to polyethylene glycol and mixtures of these colipids.

The invention cationic lipids can be used without a colipid but are 10 preferably used with a colipid to obtain a high transfection efficiency. The optimal cationic lipid:colipid ratio for a given invention cationic lipid is determined by mixing experiments to prepare lipid mixtures for complexing with a polyanion using cationic lipid:colipid ratios between about 1:0 and 1:10. Methods to determine optimal cationic lipid:colipid ratios have been described 15 (see, for example, Felgner, *infra*). Each lipid mixture is optionally tested using more than one nucleic acid-lipid mixture having different nucleic acid:lipid molar ratios to optimize the nucleic acid:lipid ratio.

Suitable molar ratios of invention lipid:colipid are about 0.1:1 to 1:0.1, 0.2:1 20 to 1:0.2, 0.4:1 to 1:0.4, or 0.6:1 to 1:0.6. Lipid particle preparations containing increasing molar proportions of colipid were found to deliver increasing amounts of nucleic acid to transfected cells as the proportion of colipid increased.

In addition, the lipids of structures F or G can be used together in admixture, or different embodiments of either or both structures are used in admixture, with or without colipid.

25 The amount of polyanion, present as an oligonucleotide, delivered to a representative cell by at least some of the lipids was found to be significantly greater than the amount delivered by commercially available transfection lipids {Lipofectin™ (Gibco/BRL), Transfectam™ (Promega) or Lipofectamine™ (Gibco/BRL)} for all cell lines where comparisons were made. The difference in 30 transfection efficiency between lipids described herein and commercially available lipids is usually most pronounced when the transfections are done in the presence of medium containing serum. The amount of polyanion delivered into cells was estimated to be about 2- to 100-fold greater for lipids 30, 34 and 35 based on the observed fluorescence intensity of transfected cells after transfection 35 using a fluorescently labeled oligonucleotide. The cationic lipids described herein also transfect some cell types that are not detectably transfected by commercial lipids, particularly where the transfection is conducted in the presence of serum.

The cationic lipids described herein also differed from commercially available lipids by efficiently delivering a polyanion (oligonucleotide) into cells in tissue culture over a range of cell confluency from about 50 to 100%. Most commercially available lipids require cells that are at a relatively narrow
5 confluency range for optimal transfection efficiency. For example, Lipofectin™ requires cells that are 70-80% confluent for transfecting the highest proportion of cells in a population. The invention lipids could be used to transfect cells that are about 10-50% confluent, but toxicity of the lipids was more pronounced, relative to that seen using cells that are about 50-100% confluent. In general, the
10 invention lipids transfected cells that were about 60-100% confluent with minimal toxicity and optimal efficiency. Confluency ranges of 60-95% or 60-90% are thus convenient for transfection protocols with most cell lines in tissue culture.

The invention cationic lipids complexed with an oligonucleotide, were
15 used to transfect cells in tissue culture. Similar lipids complexed with plasmid DNA were used to transfect cells with RNA or DNA in mice and the RNA and the DNA encoded gene products were expressed in the transfected cells.

Liposomes or complexes consisting of the invention cationic lipids and a colipid are conveniently prepared by first drying the lipids in solvent (usually
20 chloroform) under reduced pressure (spin vac in 1.5 mL polypropylene tubes for small volumes (about 100 µL) or rotovap in round bottom flasks for larger volumes, e.g. 10 mL in 100 mL flask). The lipids are then hydrated and converted to liposomes or lipid complexes by adding water or low ionic strength buffer (less than about 200 mM total ion concentration) followed by agitating (by
25 vortexing and/or sonication) and/or freeze/thaw treatments.

The invention lipid-polyanion complexes are believed to form micelles or liposomes of about 40 to 600 nm in diameter. Light scattering experiments using a 1:1 molar ratio of 34 cationic lipid and DOPE colipid (prepared by sonication as described in Example 5 below) showed two peaks corresponding to particles of
30 about 66 nm and about 260 nm in diameter, with lesser amounts of particles above, below and between these sizes.

The invention cationic lipids 30 or 34 and DOPE colipid (1:1) were prepared by sonication and then filtered using 200, 100 or 50 nm filters to obtain particles less than about 200 nm in diameter, less than about 100 nm and less
35 than about 50 nm. Transfection efficiency using 200 nm filtered or 100 nm filtered preparations were the most efficient (and equally efficient) with regard to both the proportion of cells transfected and the amount of nucleic acid delivered per cell. The 50 nm filtered preparations were about 40-50% as efficient as the

preparations containing larger particles. The size of the particles or micelles in a given preparation will vary depending on the preparation method. Sonicating cationic lipid-colipid mixtures will provide smaller micelles and vortexing will provide larger micelles (Felgner J. Biol. Chem. (1994) 269:2550-2561). Such micelles are believed to transfer the polyanion into the cytoplasm of a eukaryotic or prokaryotic cell by pinocytosis, endocytosis and/or by direct fusion with the plasma membrane.

The complexes of this invention are then used to transfect one or more cell lines or administered *in vivo* to animals to determine the efficiency of transfection obtained with each preparation. The invention lipid-colipid complexes in medium were used at a concentration between about 0.5 and 20 $\mu\text{g/mL}$, with typical transfections using about 1.0 to 15 $\mu\text{g/mL}$ of lipid. If the nucleic acid encodes a polypeptide, it also may comprise a selectable (such as neomycin phosphotransferase) or detectable (such as β -galactosidase) marker or gene that will serve to allow measuring or estimating the efficiency of transfection. Polyanions will have at least two negative charges per molecule to facilitate complex formation with the positively charged cationic lipid. Polyanions typically will have at least 5 charges per molecule or at least 10 charges per molecule. In general, oligonucleotides will have at least 2, 4, 6, 10, 14 or more charges to facilitate complex formation. However, nucleic acids containing two, three, four or more adenine residues (e.g., 4 to 10, 5 to 15 or 6 to 35 adenine residues) and no charges associated with the internucleotide linkages can be transfected with invention cationic lipids containing arginine (such as 34 or 35) because arginine and adenine form noncovalent complexes with each other.

As used herein, polynucleotide means single stranded or double stranded DNA or RNA, including for example, oligonucleotides (which as defined herein, includes DNA, RNA and oligonucleotide analogs) and plasmids. In general, relatively large nucleic acids such as plasmids or mRNAs will carry one or more genes that are to be expressed in a transfected cell, while comparatively small nucleic acids, i.e., oligonucleotides, will comprise (1) a base sequence that is complementary (via Watson Crick or Hoogsteen binding) to a DNA or RNA sequence present in the cell or (2) a base sequence that permits oligonucleotide binding to a molecule inside a cell such as a peptide, protein or glycoprotein. Exemplary RNAs include ribozymes and antisense RNA sequences that are complementary to a target RNA sequence in a cell.

Polynucleotides include single stranded unmodified DNA or RNA comprising (a) the purine or pyrimidine bases guanine, adenine, cytosine,

thymine and/or uracil; (b) ribose or deoxyribose; and (c) a phosphodiester group that linkage adjacent nucleoside moieties. Polynucleotides include oligonucleotides which typically comprise 2 to about 100 or 3 to about 100 linked nucleosides. Typical oligonucleotides comprise size ranges such as

5 2-10, 2-15, 2-20, 2-25, 2-30, 2-50, 8-20, 8-30 or 2-100 linked nucleotides.

Oligonucleotides are usually linear with uniform polarity and, when regions of inverted polarity are present, such regions comprise no more than one polarity inversion per 10 nucleotides. One inversion per 20 nucleotides is typical.

Oligonucleotides can also be circular, branched or double-stranded. Antisense
10 oligonucleotides generally will comprise a sequence of about from 8 to 30 bases or about 8 to 50 bases that is substantially complementary to a cognate DNA or RNA base sequence present in the cell. The size of nucleic acid that is delivered into a cell using the invention lipids is limited only by the size of molecules that reasonably can be prepared and thus DNA or RNA that is 0.1 to 1 Kilobase (Kb), 1
15 to 20 Kb, 20 Kb to 40 Kb or 40 Kb to 1,000 Kb in length can be delivered into cells.

Polynucleotides also include DNA or RNA comprising one or more covalent modifications. Covalent modifications include (a) substitution of an oxygen atom in the phosphodiester linkage of an polynucleotide with a sulfur atom, a methyl group or the like, (b) replacement of the phosphodiester group
20 with a nonphosphorus moiety such as -O-CH₂-O-, -S-CH₂-O- or -O-CH₂-S-, and (c) replacement of the phosphodiester group with a phosphate analog such as -O-P(S)(O)-O-, -O-P(S)(S)-O-, -O-P(CH₃)(O)-O- or -O-P(NHR¹⁰)(O)-O- where R¹⁰ is alkyl (C₁₋₆), or an alkyl ether (C₁₋₆). Oligonucleotides include oligomers having a substitution at about 10% to 100% or 20 to 80% of the phosphodiester groups in
25 unmodified DNA or RNA. Oligonucleotides include covalent modification or isomers of ribose or deoxyribose such as morpholino, arabinose, 2'-fluororibose, 2'-fluoroarabinose, 2'-O-methylribose or 2'-O-allylribose. Oligonucleotides and methods to synthesize them have been described (for example see:

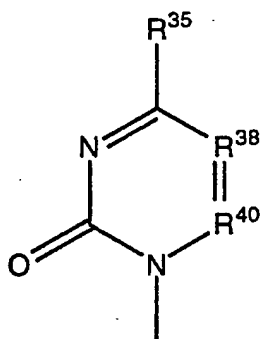
PCT/US90/03138, PCT/US90/06128, PCT/US90/06090, PCT/US90/06110,
30 PCT/US92/03385, PCT/US91/08811, PCT/US91/03680, PCT/US91/06855, PCT/US91/01141, PCT/US92/10115, PCT/US92/10793, PCT/US93/05110, PCT/US93/05202, PCT/US92/04294, WO86/05518, WO89/12060, WO91/08213, WO90/15065, WO91/15500, WO92/02258, WO92/20702, WO92/20822, WO92/20823, U.S. Application Serial Nos. 07/864,873, 08/123,505 and 08/050,698,
35 U.S. Patent No. 5,214,136 and Uhlmann Chem Rev (1990) 90:543).

Oligonucleotides are usually linear with uniform polarity and, when regions of inverted polarity are present, such regions comprise no more than one polarity

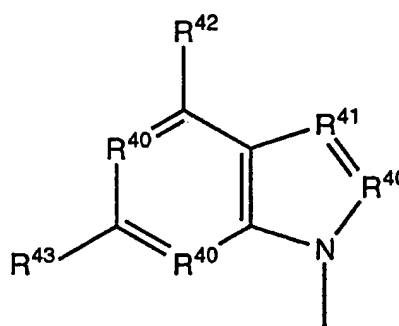
inversion per 10 nucleotides. One inversion per 20 nucleotides is typical. Oligonucleotides can be circular, branched or double-stranded.

Linkage means a moiety suitable for coupling adjacent nucleomonomers and includes both phosphorus-containing moieties and non phosphorus-containing moieties such as formacetal, thioformacetal, riboacetal and the like. A linkage usually comprises 2 or 3 atoms between the 5' position of a nucleotide and the 2' or 3' position of an adjacent nucleotide.

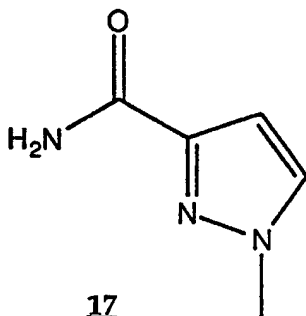
A purine or pyrimidine base means a heterocyclic moiety suitable for incorporation into an oligonucleotide. It can be in the α or β anomer configuration. Purine or pyrimidine bases are moieties that bind to complementary nucleic acid sequences by Watson-Crick or Hoogsteen base pair rules. Bases need not always increase the binding affinity of an oligonucleotide for binding to its complementary sequence at least as compared to bases found in native DNA or RNA. However, such modified bases preferably are not incorporated into an oligomer to such an extent that the oligonucleotide is unable to bind to complementary sequences to produce a detectably stable duplex or triplex. Purine or pyrimidine bases usually pair with a complementary purine or pyrimidine base via 1, 2 or 3 hydrogen bonds. Such purine or pyrimidine bases are generally the purine, pyrimidine or related heterocycles shown in formulas 15 - 18.



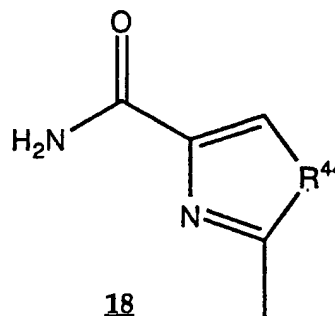
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wherein R^{35} is H, OH, F, Cl, Br, I, OR^{36} , SH, SR^{36} , NH_2 , or NHR^{37} ;

R^{36} is $C_1 - C_6$ alkyl (including CH_3 , CH_2CH_3 and C_3H_7), CH_2CCH (2-propynyl) and CH_2CHCH_2 ;

5 R^{37} is $C_1 - C_6$ alkyl including CH_3 , CH_2CH_3 , CH_2CCH , CH_2CHCH_2 , C_3H_7 ;

R^{38} is N, CF, CCl, CBr, Cl, CR^{39} or CSR^{39} , COR^{39} ;

R^{39} is H, $C_1 - C_9$ alkyl, $C_2 - C_9$ alkenyl, $C_2 - C_9$ alkynyl or $C_7 - C_9$ aryl-alkyl unsubstituted or substituted by OH, O, N, F, Cl, Br or I including CH_3 , CH_2CH_3 , $CHCH_2$, $CHCHBr$, CH_2CH_2Cl , CH_2CH_2F , CH_2CCH , CH_2CHCH_2 , C_3H_7 , CH_2OH ,
10 CH_2OCH_3 , $CH_2OC_2H_5$, CH_2OCCH , $CH_2OCH_2CHCH_2$, $CH_2C_3H_7$, CH_2CH_2OH , $CH_2CH_2OCH_3$, $CH_2CH_2OC_2H_5$, CH_2CH_2OCCH , $CH_2CH_2OCH_2CHCH_2$, $CH_2CH_2OC_3H_7$;

R^{40} is N, CBr, Cl, CCl, CH, $C(CH_3)$, $C(CH_2CH_3)$ or $C(CH_2CH_2CH_3)$;

R^{41} is N, CH, CBr, CCH_3 , CCN , CCF_3 , $CC\equiv CH$ or $CC(O)NH_2$;

15 R^{42} is H, OH, NH_2 , SH, SCH_3 , SCH_2CH_3 , SCH_2CCH , SCH_2CHCH_2 , SC_3H_7 , $NH(CH_3)$, $N(CH_3)_2$, $NH(CH_2CH_3)$, $N(CH_2CH_3)_2$, $NH(CH_2CCH)$, $NH(CH_2CHCH_2)$, $NH(C_3H_7)$ or halogen (F, Cl, Br or I);

R^{43} is H, OH, F, Cl, Br, I, SCH_3 , SCH_2CH_3 , SCH_2CCH , SCH_2CHCH_2 , SC_3H_7 , OR^{16} , NH_2 , or NHR^{37} ; and

20 R^{44} is O, S or Se.

Exemplary bases include adenine, cytosine, guanine, hypoxanthine, inosine, thymine, uracil, xanthine, 2-aminopurine, 2,6-diaminopurine, 5-(4-methylthiazol-2-yl)uracil, 5-(5-methylthiazol-2-yl)uracil, 5-(4-methylthiazol-2-yl)cytosine, 5-(5-methylthiazol-2-yl)cytosine and the like.

25 Also included are alkylated or alkynylated bases having substitutions at, for example, the 5 position of pyrimidines that results in a pyrimidine base other than uracil, thymine or cytosine, i.e., 5-methylcytosine, 5-(1-propynyl) cytosine, 5-(1-butynyl)cytosine, 5-(1-butynyl)uracil, 5-(1-propynyl)uracil and the like. Base analogs and their use in oligomers have been described (see for example, U.S.
30 Application Serial No. 08/123,505; US92/10115; US91/08811; US92/09195; WO 93/10820; WO 92/09705; WO 92/02258; Nikiforov, T. T., et al, Tet Lett (1992) 33:2379-2382; Clivio, P., et al, Tet Lett (1992) 33:65-68; Nikiforov, T. T., et al, Tet Lett (1991) 32:2505-2508; Xu, Y.-Z., et al, Tet Lett (1991) 32:2817-2820; Clivio, P., et al, Tet Lett (1992) 33:69-72; Connolly, B.A., et al, Nucl Acids Res (1989) 17:4957-
35 4974).

Nucleic acids complexed with the invention lipids may comprise nucleic acids encoding a therapeutic or diagnostic polypeptide. Examples of such polypeptides include histocompatibility antigens, cell adhesion molecules,

cytokines, antibodies, antibody fragments, cell receptor subunits, cell receptors, intracellular enzymes and extracellular enzymes or a fragment of any of these. The nucleic acids also may optionally comprise expression control sequences and generally will comprise a transcriptional unit comprising a transcriptional promoter, an enhancer, a transcriptional terminator, an operator or other expression control sequences.

Nucleopolymers (i.e., nucleic acids, oligonucleotides or oligonucleotide analogs) used to form complexes for transfecting a cell may be present as more than one expression vector or more than one oligonucleotide. Thus, 1, 2, 3 or more different expression vectors and/or oligonucleotides are delivered into a cell as desired. Expression vectors will typically express 1, 2 or 3 genes when transfected into a cell, although many genes may be present such as when a herpes virus vector or a yeast artificial chromosome is delivered into a cell. The ratio of each nucleopolymer in a lipid complex relative to each other can be selected as desired. Expression vectors that are introduced into a cell can encode selectable markers (*E. coli* neomycin phosphotransferase, thymidine kinase from a herpesvirus, *E. coli* xanthine-guanine phosphoribosyl-transferase, and the like) or biologically active proteins such as metabolic enzymes or functional proteins (such as immunoglobulin genes, cell receptor genes, cytokines (such as IL-2, IL-4, GM-CSF, γ -INF and the like), genes that encode enzymes that mediate purine or pyrimidine metabolism and the like).

Methods to prepare lipid-nucleic acid complexes and methods to introduce the complexes into cells *in vitro* and *in vivo* have been described (see for example, 5, 283,185; 5,171,678; WO 94/00569; WO 93/24640; WO 91/16024; Felgner *J Biol Chem* (1994) 269:2550; Nabel *Proc Natl Acad Sci (USA)* (1993) 90:11307; Nabel *Human Gene Ther* (1992) 3:649; Gershon *Biochem* (1993) 32:7143; Strauss *EMBO J* (1992) 11:417).

Applications

The invention lipids are useful for delivering polyanions, polypeptides or nucleopolymers into cells. The invention lipids can be used to deliver an expression vector into a cell for manufacturing or therapeutic use. The expression vectors can be used in gene therapy protocols to deliver a therapeutically useful protein to a cell or for delivering nucleic acids encoding molecules that encode therapeutically useful proteins or proteins that can generate an immune response in a host for vaccine or other immunomodulatory purposes according to known methods (see for example, 5,399,346, 5,336,615, WO 94/21807, WO 94/12629). The vector-transformed cell

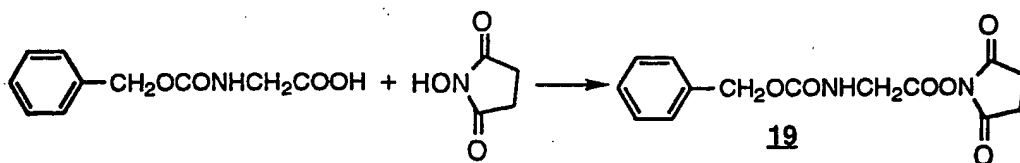
- can be used to produce commercially useful cell lines, such as a cell line for producing therapeutic proteins or enzymes (erythropoietin, and the like), growth factors (human growth hormone, and the like) or other proteins. The invention lipid-nucleic acid complexes can be used to construct cell lines for gene therapy applications in subjects such as humans or other species including murine, feline, bovine, equine, ovine or non human primate species. The invention lipids can be used in the presence of serum and will thus deliver polyanions into cells in tissue culture medium containing serum *in vitro* or in an animal *in vivo*.
- The invention lipids complexed with nucleopolymers can be used in antisense inhibition of gene expression in a cell by delivering an antisense oligonucleotide into the cell (see for example, Wagner Science (1993) 260:1510; WO 93/10820). Such oligonucleotides will generally comprise a base sequence that is complementary to a target RNA sequence that is expressed by the cell.
- However, the oligomer may regulate intracellular gene expression by binding to an intracellular nucleic acid binding protein (Clusel Nucl Acids Res (1993) 21:3405) or by binding to an intracellular protein or organelle that is not known to bind to nucleic acids (WO 92/14843). A cell that is blocked for expression of a specific gene(s) is useful for manufacturing and therapeutic applications.
- Exemplary manufacturing uses include inhibiting protease synthesis in a cell to increase production (i.e., reduce target protein degradation caused by the protease) of a protein for a therapeutic or diagnostic application. Exemplary therapeutic applications include inhibiting synthesis of cell surface antigens (histocompatibility antigens, such as MHC class II genes, and the like) to reduce rejection and/or to induce immunologic tolerance of the cell either after it is implanted into a subject or when the cell is transfected *in vivo*.

The following examples illustrate but do not limit the invention.

Example 1

30 A. Compound 19

- Carbobenzyloxyglycine (1.05 g, 5 mmole) in THF (30 mL), N-hydroxysuccinimide (0.58 g, 5 mmole) and DCC (1.1 g, 5.3 mmole) were stirred at room temperature overnight. The precipitate was filtered off, washed with methylene chloride. The combined organic solution was concentrated to dryness, yielding compound 19, and used for the next reaction without further purification.



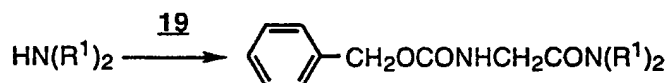
B. Compounds 20-22

Compound **20**: Compound **19** was dissolved in methylene chloride (30 mL) containing TEA (1 mL), following by addition of distearylamine (2.6 g, 5 mmole). After 5 hr at room temperature, the reaction mixture was washed with water, dried over Na₂SO₄, concentrated. The residue was purified by flash column chromatography on silica gel, eluted with methylene chloride to afford the desired product, **20**, as a colorless liquid 1.60 g; yield 45% (2 steps).

10 NMR (CDCl₃): δ 7.20-7.40 (m, 5 H), 5.85 (b, 1H); 5.12 (s, 2H), 4.00 (d, 2 H), 3.15 (t, 2H), 3.31 (t, 2H), 1.42-1.60 (m, 4H), 1.10-1.40 (m, 60H), 0.88 (t, 6H).

Compound **21**: yield 57% (2 steps). NMR (CDCl₃): δ 7.20-7.40 (m, 5 H), 5.85 (t, 1H); 5.12 (b, 2H), 4.00 (d, 2 H), 3.31 (t, 2H), 3.14 (t, 2H), 1.40-1.60 (m, 4H), 1.20-1.40 (m, 36H), 0.88 (t, 6H).

15 Compound **22**. NMR (CDCl₃): δ 7.20-7.40 (m, 5 H), 5.82 (b, 1H); 5.12 (b, 2H), 4.00 (d, 2 H), 3.31 (t, 2H), 3.14 (t, 2H), 1.40-1.60 (m, 4H), 1.10-1.40 (m, 44H), 0.88 (t, 6H).



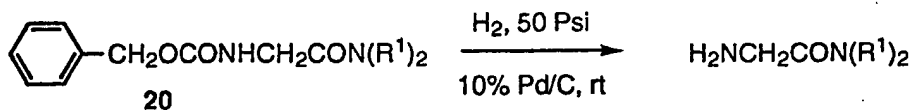
20 **20**: $R^1 = n\text{-C}_{18}\text{H}_{37}$; **21**: $R^1 = n\text{-C}_{12}\text{H}_{25}$; **22**: $R^1 = n\text{-C}_{14}\text{H}_{29}$

C. Compounds 23-25

Compound 23: Compound 20 (1.60 g, 2.24 mmole) in methylene chloride (7 mL), and ethanol (14 mL) was hydrogenated at 50 psi in the presence of 10% Pd/C for 8 hr. The catalyst was filtered off through a Celite pad. The filtrate was concentrated to afford a yellowish wax-like solid (1.27 g), 23. NMR (CDCl₃): δ 3.51 (s, 2H), 3.48 (b, 2H); 3.30 (t, 2H), 3.15 (t, 2H), 1.45-1.51 (m, 4H), 1.10-1.40 (m, 60H), 0.88 (t, 6H).

Compound **24**: yield 93%. NMR (CDCl₃): δ 8.60 (b, 2H), 3.94 (S, 2H); 3.30 (t, 2H), 3.10-3.20 (m, 2H), 1.40-1.60 (m, 4H), 1.10-1.40 (m, 36H), 0.88 (t, 6H).

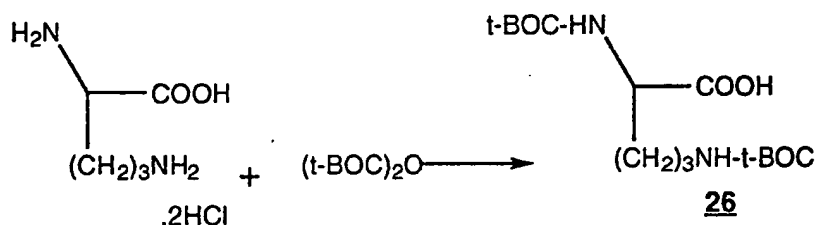
Compound **25**: yield 94%. NMR (CDCl₃): δ 8.50 (b, 2H), 4.95 (b, 2H); 3.28 (b, 2H), 3.14 (b, 2H), 1.40-1.60 (m, 4H), 1.10-1.40 (m, 44H), 0.85 (t, 6H).



23 : R¹ = n-C₁₈H₃₇; 24 : R¹ = n-C₁₂H₂₅; 25 : R¹ = n-C₁₄H₂₉

D. Compound 26 (t-BOC-Ornithine)

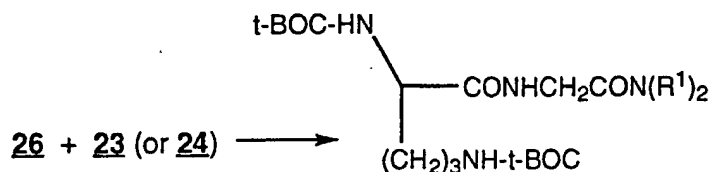
- 5 L-Ornithine.HCl (0.84 g, 5 mmole) was dissolved in H₂O (15 mL) containing NaOH (0.6 g, 15 mmole), followed by addition of a THF (15 mL) solution of (t-BOC)₂O (2.18 g, 10 mmole). The resulting mixture was stirred at room temperature overnight, then was neutralized with 1 N HCl aqueous solution (pH 4), extracted with CH₂Cl₂ (50 mL) three times. The combined
10 organic phase was dried over Na₂SO₄, concentrated, affording the title compound 26, 1.00 g, 60%.



15 E. Compounds 27-28

- Compound 27: Compound 26 (0.11 g, 0.33 mmole), 23 (0.192 g, 0.33 mmole) and DIC (46 mg, 0.36 mmole) were dissolved in CH₂Cl₂ (10 mL). After being stirred 16 hr at room temperature, the reaction was washed with water, dried, and concentrated. The residue was purified by flash column
20 chromatography on silica gel, eluted with 3% CH₃OH in CH₂Cl₂ (product came off column at frs 4-11, 8 mL/fr), affording 0.2 g (69%) of product 27. MNR (CDCl₃): δ 7.04 (b, 1H), 5.10 (m, 1H), 4.65 (b, 1H), 4.22 (b, 1H), 4.02 (d, 2H), 3.30 (t, 2H), 3.10-3.25 (m, 4H), 1.10-1.60 (m, 86H), 0.88 (t, 6H).

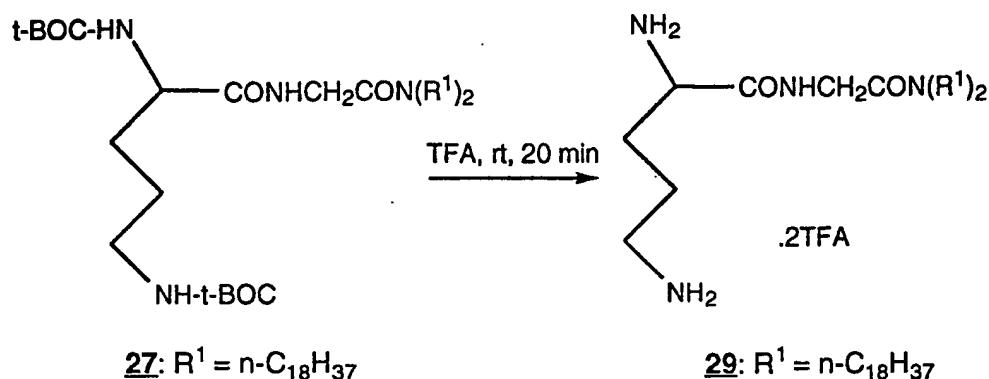
- Compound 28 was prepared from compounds 26 and 24 in the same manner in a 26% yield. NMR (CDCl₃): δ 7.05 (b, 1H), 5.06 (b, 1H), 4.62 (b, 1H), 4.20 (b, 1H), 4.02 (d, 2H), 3.34 (t, 2H), 3.10-3.20 (m, 4H), 1.20-1.60 (m, 62H), 0.88 (t, 6H).
25



27 : R¹ = n-C₁₈H₃₇; 28 : R¹ = n-C₁₂H₂₅

F. Compound 29. (trifluoroacetic acid salt, TFA)

Compound 27 (0.2 g) was treated with trifluoroacetic acid (exc) at room temperature for 20 min. The reaction mixture was evaporated to dryness affording a wax-like off white solid, 0.19 g. NMR (DMSO- d_6): δ 8.58 (t, 1H), 8.18 (p, 2H), 7.75 (p, 2H), 3.95 (d, 2H), 3.90 (m, 1H), 3.10-3.25 (m, 4H), 2.70-2.82 (m, 2H), 1.10-1.60 (m, 68H), 0.88 (t, 6H).

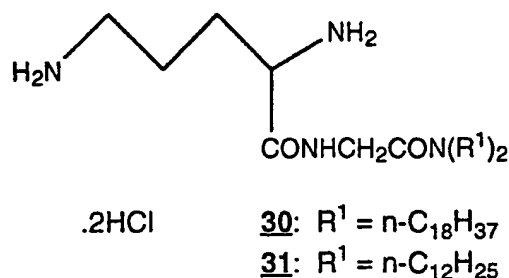
10 G. Compound 30 (HCl salt: $\text{R}^1 = n\text{-C}_{18}\text{H}_{37}$)

Compound 27 (1.63 g; 1.82 mmole) was dissolved in 1,4-dioxane 5 mL and treated with 4 N HCl in 1,4-dioxane (5 mL). After 1.5 hr at room temperature, the reaction mixture was concentrated and azeotroped with CH_3CN (5 times). The product weighed 1.30 g.

15

H. Compound 31 (HCl salt)

Compound 31 (HCl salt), was prepared from compound 28 in the same manner as compound 30.



20

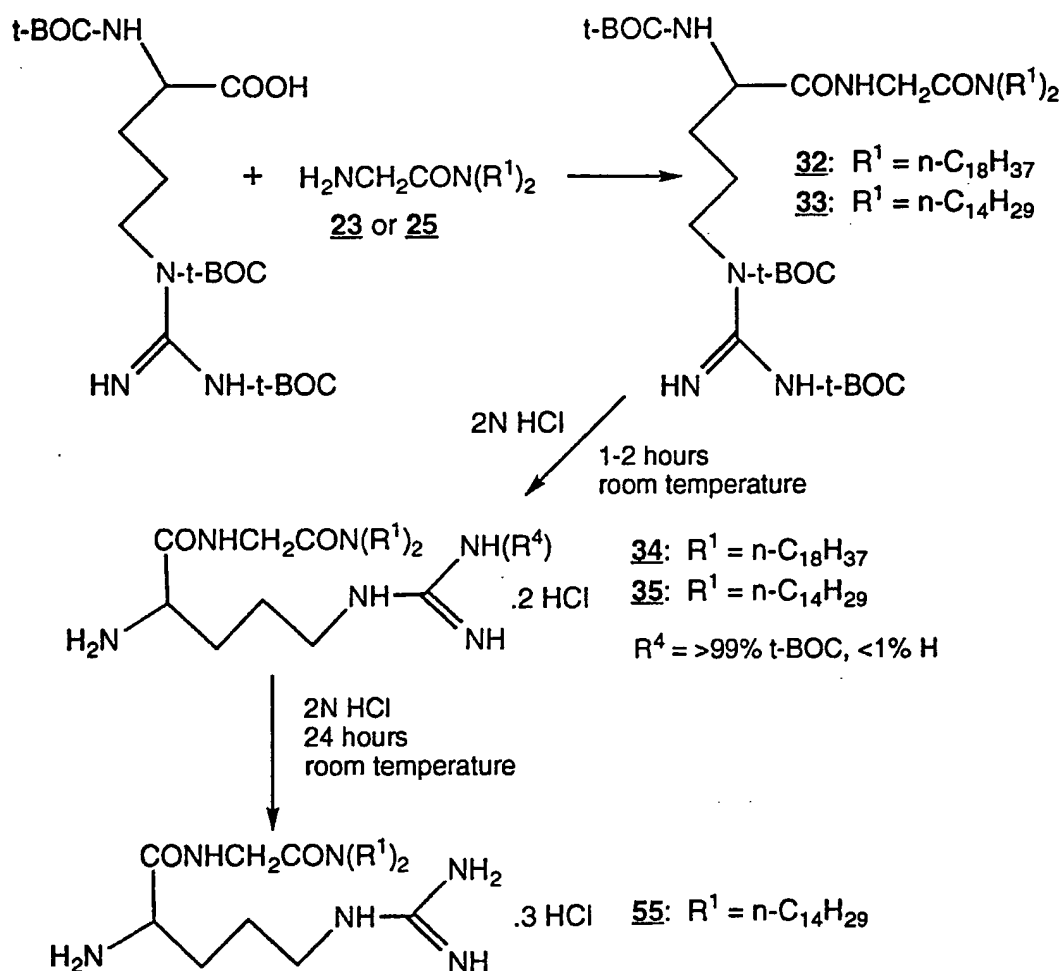
Example 2A-1. Compound 32

L-t-BOC-Arg (t-BOC)₂-OH, L-Arginine protected with t-BOC group, was purchased from BACHEM Bioscience Inc., Cat. No. A2935 (0.50 g; 1.05 mmole),

compound **23** (0.58 g; 1 mmole), DIC (0.145 g; 1.15 mmole) were dissolved in CH_2Cl_2 (30 mL). The reaction mixture was stirred at room temperature overnight, washed with H_2O , dried over Na_2SO_4 , concentrated, and purified by flash column chromatography on silica gel, affording 0.74 g of product **32** in 72% yield. NMR (CDCl_3): δ 9.20-9.50 (m, 2H), 7.20 (b, 1H), 5.50 (d, 1H), 4.23 (m, 1H), 4.02 (m, 2H), 3.90 (t, 2H), 3.35 (m, 2H), 3.19 (t, 2H), 1.10-1.70 (m, 95H), 0.88 (t, 6H).

A-2. Compound **33**

Compound **33**: yield 37.5%. NMR (CDCl_3): δ 9.15-9.50 (b, 2H), 7.20 (b, 1H), 5.20 (d, 1H), 4.23 (b, 1H), 4.02 (dd, 2H), 3.89 (t, 2H), 3.26-3.31 (m, 2H), 3.14 (t, 2H), 1.60-1.70 (m, 4H), 1.10-1.60 (m, 75H), 0.88 (t, 6H).



15 B-1. Compound **34** (HCl salt)

Compound **32** (0.6 g; 0.58 mmole) was dissolved in dioxane (4 mL) and treated with 4 N HCl in dioxane (4 mL) at room temperature for 1.5 hr. The

reaction mixture was concentrated, azeotroped with CH₃CN twice to yield **34**. NMR (DMSO-Cl₆): δ 9.15-9.50 (m, 2H), 8.25 (6.4H), 3.80-4.05 (m, 1H), 3.15-3.30 (m, 4H), 1.10-1.70 (m), 0.88 (t, 6H).

B-2. Compound 35 (HCl salt)

- 5 Compound **35** was synthesized in the same manner as **34** using **33** as a starting material. NMR (CDCl₃): δ 4.10 (b, 1H), 3.78 (m, 2H), 3.65 (m, 2H), 3.20-3.35 (b, 4H), 1.10-1.70 (m), 0.88 (t, 6H).

Example 3

10 **A. Compound 36**

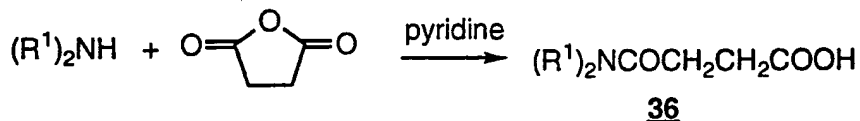
- A pyridine solution (20 mL) of disterylamine (2.62 g; 5 mmole) and succinic anhydride (1.5 g; 15 mmole) was stirred at room temperature for 30 hr. The reaction mixture was concentrated to dryness. The residue was partitioned between CH₂Cl₂ and 1 M TEAB (triethylammonium bicarbonate) aqueous
15 solution. The organic phase was isolated, dried, concentrated to afford a yellowish wax-like of product, 3.38 g, 98% yield. NMR (CDCl₃): δ 3.20-3.340 (2t, 4H), 2.65 (s, 4H), 1.40-1.60 (m, 4H), 1.20-1.40 (m, 60H), 0.88 (t, 6H).

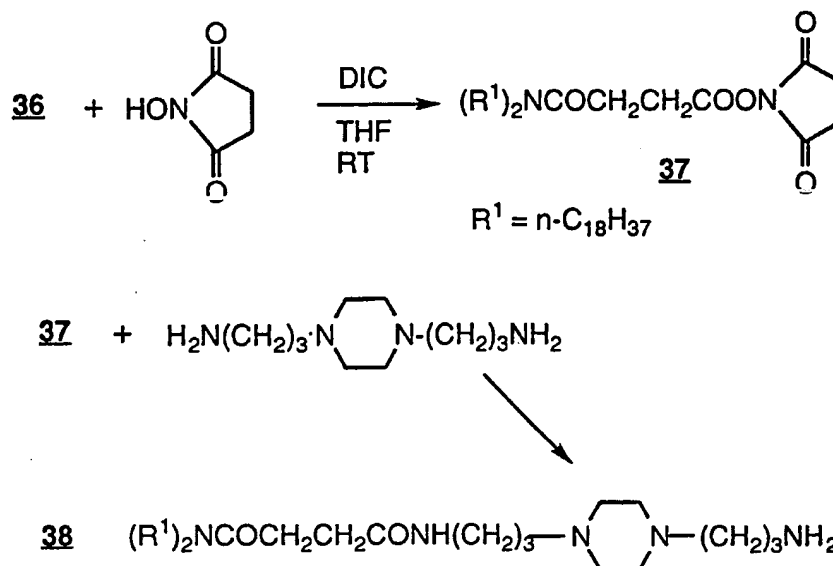
B. Compound 37

- To a THF solution (10 mL) of compound **36** (0.62 g; 1 mmole), N-hydroxysuccimide (0.13 g; 1.1 mmole) and DMAP (20 mg) was added DIC (0.14 g; 1.1 mmole). The resulting solution was stirred at room temperature overnight. The reaction mixture was concentrated. The residue was then partitioned between CH₂Cl₂ and water. The organic phase was isolated, dried, concentrated to give a wax-like product, **37** 0.79 g (97%).

25 **C. Compound 38**

- A methylene chloride solution (10 mL) of compound **37** (0.29 g; 0.27 mmole) and 1,4-Bis(3-amino-propyl)piperazine (1.12g; 5.6 mmole) was stirred at room temperature overnight. The reaction mixture was washed twice with water, dried, concentrated to give 0.19 g of product, **38** 86% yield. NMR (CDCl₃):
30 δ 7.15 (t, 1H), 3.29-3.35 (m, 6H), 2.75 (t, 4H), 2.65 (t, 2H), 2.32-2.58 (m, 14H), 1.20-1.80 (m, 68H), 0.88 (t, 6H).





Example 4

Compound 39:

- 5 To CH_2Cl_2 (20 mL) about 0°C solution of ethylenediamine (2.170 g; 44.5 mmole) was added dropwise a CH_2Cl_2 solution (20 mL) of cholesteryl chloroformate (1.0 g; 2.2 mmole). After being stirred at room temperature for 1 hr, the reaction was washed with H_2O , saturated NaHCO_3 aqueous solution, dried and concentrated to give a white solid (1.03 g). NMR (CDCl_3): δ 5.37 (d, 1H), 4.93 (m, 1H), 4.54 (m, 1H), 3.21 (q 2H), 2.81 (t, 2H), 2.20-2.45 (m, 2H).
- 10

Compound 40:

- A CH_2Cl_2 (10 mL) solution of L-t-BOC-Arg(t-BOC)₂-OH (0.2 g; 0.42 mmole), compound 39 (0.2 g; 0.42 mmole) and DIC (58 mg; 0.46 mmole) was stirred at room temperature for 4 hrs. The reaction was worked-up as compound 32 and
- 15 purified by flash column chromatography affording 0.31 g, 79%, of white powder product compound 40. NMR (CDCl_3): δ 9.30-9.45 (m, 2H), 7.20 (b, 1H), 5.90-6.0 (m, 1H), 5.38 (m, 2H), 4.30-4.55 (b, 2H), 4.00 (m, 2H), 3.20-3.45 (m, 4H).

20 Compound 41:

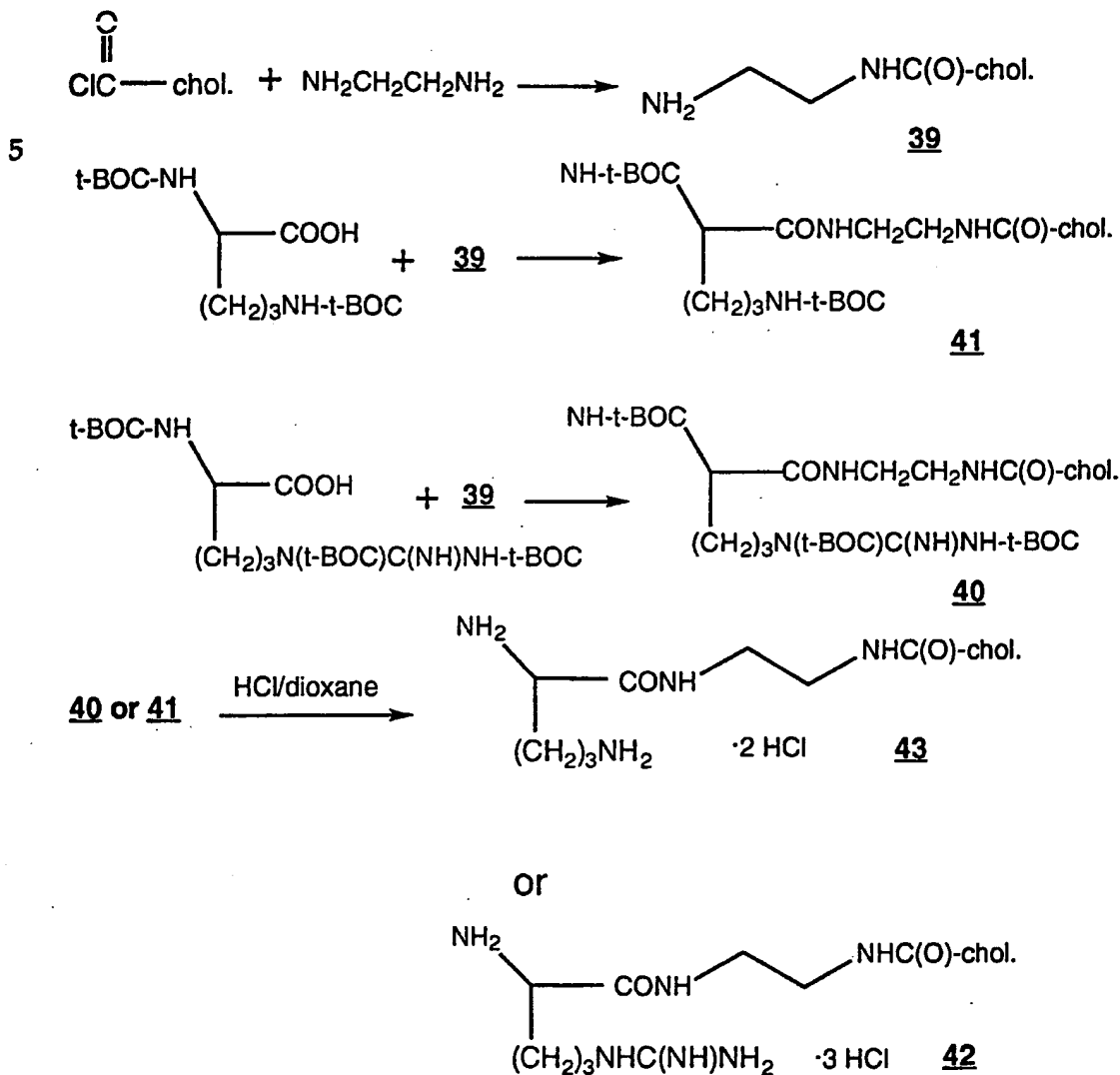
Compound 41 was synthesized from compounds 26 and 39 in 52% yield. NMR (CDCl_3): δ 6.85 (b, 1H), 5.38 (d, 1H), 5.15-5.25 (m, 2H), 4.70-4.80 (b, 1H), 4.40-4.55 (m, 1H), 4.20 (b, 1H), 4.00 (m, 1H), 3.00-3.40 (m, 6H).

Compound 42:

- 25 Compound 42 was prepared from compound 40 in the same manner as compound 30.

Compound 43:

Compound **43** was prepared by treating compound **41** with 2N HCl in dioxane.



Example 5

10 Preparation of lipid-nucleic acid complexes and cell transfection. Lipids were prepared for complexing with nucleic acids by drying a cationic lipid-colipid mixture in CHCl_3 under argon. The molar ratio of cationic lipid to colipid was adjusted by adding appropriate amounts of each lipid in CHCl_3 together prior to drying. Usually 10 mL of water was added to a 100 mL round bottom flask
15 containing a dried film of lipid and colipid. The lipids consisted of a mixture of an invention cationic lipid and the colipid DOPE (dioleylphosphatidylethanolamine). Sterile-filtered water or a low ionic strength

aqueous buffer such as physiological saline, TE (10 mM tris, 1 mM EDTA, pH 7-8) or Ringer's solution was then added to the dried lipids to obtain a lipid suspension at 1 mg lipid/mL followed by a 10 minute bath sonication (Ultra Sonik 100, NEY) at room temperature to suspend the lipids in the flask. The
5 suspended lipids (10 mL) were then sonicated 5 times for 15 seconds per sonication at 0-4° C with about 30-60 seconds between pulses. Sonication was usually conducted in a 15 mL polypropylene culture tube. A probe sonicator (Sonifier 250, Branson Ultrasonics) was used at maximum power for the ice bath sonication and for each 15 second pulse. The lipid suspension was optionally
10 filtered or centrifuged (2000 rpm, 10 minutes at 0-4° C) to remove large particulate matter and the resulting lipid suspensions were kept at 4° C until used.

Lipid nucleic acid complexes were prepared by mixing (a) 10% v/v (usually 100 µL) oligonucleotide in Optimem™ (Bethesda Research Labs, Inc.) at room
15 temperature (about 19-24° C) with (b) 10% v/v lipid suspension in Optimem™ at room temperature and allowing the mixture to stand for about 15 minutes, followed by adding (c) 80% v/v Optimem™ without serum or 80% v/v tissue culture medium (Modified Essential Medium (MEM), Dulbecco's Modified Eagle's Medium (DMEM), etc) containing 0-80% fetal bovine serum (Hyclone,
20 Inc.). The lipid and nucleic acid solutions could also be prepared using DMEM without serum, a low ionic strength (less than about 200 mM total ion concentration) aqueous medium lacking phosphate (TE, etc) or water in place of Optimem™. Typically, 100 µL each of Optimem™ containing oligonucleotide (100-500 pmole) and Optimem™ containing added lipid was mixed with 800 µL
25 of serum free Optimem™ or with 800 µL of tissue culture medium containing 10-80% FBS. Generally, 5 or 10 µL (5 or 10 µg) of lipid was added to 95 or 90 µL of Optimem™ to give a final 1 mL transfection preparation containing 5 or 10 µg of lipid and 250 pmole of oligonucleotide. The lipid-nucleic acid mixture was held at room temperature for about 15 min hours before adding medium to give the
30 final transfection preparation volume (usually 1 mL) and warming to 37° C and immediately applying onto the cells. The transfection mixture was left on the cells for 2 to 24 hours (at 37° C), with a 6 hour time period commonly used.

Cells were typically transfected using 1 mL of transfection mixture per well in a 6-well plate. Cells at about 50-100% confluency were used. The
35 efficiency of transfection was relatively uniform over this confluency range for the invention cationic lipids. Typical transfections with the invention lipids used cells at about 60-100% confluency. Other cationic lipids (Lipofectin™, Transfectam™ or Lipofectamine™) were used according to manufacturers

instructions and cells were thus at recommended confluency for transfection with these lipids. Cells at a lower confluency (at least about 10% confluent) could usually be transfected with oligonucleotides using the invention cationic lipids, but more cell toxicity was observed relative to cells at 50-100% confluency. The
5 increased toxicity is believed to be due, at least in part, to the high level of oligonucleotide that was delivered into the cells.

Nucleic acids typically used were 15-mer phosphorothioate oligonucleotides that were labeled with fluorescein at the 5' or 3' terminus using a linker of structure $\text{NH}_2(\text{CH}_2)_6\text{-O-P(O)(OH)-O-}$ 5' linked to the oligonucleotide at
10 the 5' or 3' hydroxyl group. The oligonucleotide designated ODN1 was labeled at the 5' terminus and had a base sequence complementary to a region of the HSV strain 17 DNA polymerase gene at coordinates 421 to 436 (McGeoch J Gen Virol (1988) 69:1531). There was no known sequence that was complementary to ODN1 or ODN2 in the tested cells, except where ODN2 without the fluorescent label
15 (ODN2A) was used to inhibit T antigen synthesis in an antisense assay. The oligonucleotide designated ODN2 was labeled at the 3' terminus and consisted of the same bases and the same base sequence as the oligonucleotide designated TAG-15 (Wagner Science (1993) 260:1510-1513, at page 1511, Table 1). The oligonucleotides were used at a concentration of 250 or 500 nM (i.e., 250 to 500
20 pmole) for typical 1 mL transfections.

Cells for transfection experiments were generally seeded onto 25 mm diameter glass cover slips in 6-well plates 12-24 hours prior to transfection and were grown under conditions recommended for each cell line. The cells were generally grown on cover slips to facilitate analysis by fluorescence microscopy.
25 The cells were washed twice with tissue culture medium containing serum or with serum-free Optimem™, followed by adding 1 mL of the lipid-nucleic acid mixture at room temperature. The cells were incubated with the lipid-nucleic acid mixture at 37° C for 2 to 24 hours, followed by washing the cells twice in medium containing serum. The cell washes were done by removing most of the
30 medium from the wells, but leaving a thin layer, and adding about 1 mL of fresh medium for each wash. Removing all medium from the cells between each wash resulted in increased cell toxicity relative to washes with a thin layer of medium present at all times. Transfection efficiency and lipid toxicity was examined by fluorescence microscopy essentially as described (Wagner et al
35 Science (1993) 260:1510) shortly after the lipid-nucleic acid complex was removed.

Transfected cell lines were A10 (rat smooth muscle, ATCC No. CRL 1476), CV-1 (African green monkey kidney, ATCC No. CCL 70), NIH 3T3 (murine fibroblast), HeLa (human cervical carcinoma, ATCC No. CCL 2), SK-OV-3

(human ovary carcinoma, ATCC No. HTB 77), HL60 (human lymphoma, ATCC No. CCL 240), HUVEC (human primary umbilical endothelial cells), ECL (human endothelial cells, ATCC No. CRL 1730), NHEK (normal human epidermal keratinocyte, Clonetics™ No. CC-2603), L7 (murine connective tissue cells), Caov-3 (human ovary carcinoma, ATCC No. HTB 75), SK-BR-3 (human breast adenocarcinoma, ATCC No. HTB 30), Rat-2 (rat fibroblast, ATCC CRL 1764), MCF7 (human breast adenocarcinoma, ATCC No. HTB 22) and Caco-2 (human colon adenocarcinoma cells, ATCC No. HBT 37). HUVEC cells did not tolerate exposure to PBS and were washed in medium containing serum (DMEM with 10% FBS) prior to adding lipid-nucleic acid mixture. NHEK cells were grown in KGM™ medium (Clonetics™ No. CC-3001) according to supplier's instructions. L7 cells, derived from clone 929 (ATCC No. CCL 1), were stably transfected with a dexamethasone responsive β -galactosidase gene and were grown in EMEM with 10% horse serum and nonessential amino acids or in DMEM with 10% fetal bovine serum.

Example 6

A10 and CV-1 cells were transfected for 18 hours in medium containing 10% FBS (fetal bovine serum) using 1 mL of lipid complexed with 250 pmole ODN1 for 15 minutes prior to addition to the cells on cover slips in 6-well plates. The cells were observed by fluorescence microscopy immediately after the lipid-ODN1 complex was removed to determine the proportion of cells that were transfected as shown by nuclear staining by the fluorescent labeled oligonucleotide ODN1. The results showed that both 30 and 38 efficiently transfected both A10 and CV-1 cell lines in the presence of serum with little or no toxicity to the cells.

Compound	% cells transfected		
	A10	CV-1	CV-1 toxicity
Lipofectin™*	90	84	+**
<u>30</u>	95	85	+
<u>38</u>	85	70	-
<u>44</u> ***	<10	<5	-

* N-[1-(2,3-dioleoyloxy)propyl]-N,N,N-trimethyl ammonium bromide-DOPE mixture; all lipids were used at 15 μ g/mL; all lipids were used as a 1:1 molar mixture with DOPE as the colipid

** (+) low toxicity with no dead cells apparent and occasional change in cell morphology; (++) significant toxicity with $\geq 40\%$ of cells dead or dying; (-) no significant toxicity observed

*** compound having structure C except that one R^1 was hydrogen and the other

5 R^1 was $n\text{-C}_{12}\text{H}_{25}$.

Example 7

SK-OV-3 cells were transfected for 18 hours in medium containing either 40% or 80% FBS using 1 mL of lipid complexed with 500 pmole ODN1 for 15
10 minutes prior to addition to the cells on cover slips in 6-well plates. The cells were observed by fluorescence microscopy immediately after the lipid-ODN1 complex was removed to determine the proportion of cells that were transfected as shown by nuclear staining by the fluorescent labeled oligonucleotide ODN1. The results showed that 30 efficiently transfected SK-OV-3 cells in the presence of
15 serum. 80% serum approximates the serum protein and ion conditions that exist *in vivo* in mammalian circulation. 30 is thus suitable for transfecting cells under physiological conditions.

		% SK-OV-3	
	lipid	transfected	% serum
20	Lipofectin™	15-20	40
	<u>30</u>	76	40
	<u>38</u>	<10	40
	Lipofectin™	0	80
25	<u>30</u>	72	80
	<u>38</u>	0	80

* all lipids were used as a 1:1 molar mixture with DOPE as colipid

Example 8

30 CV-1 cells were transfected for 18 hours and HL60 cells were transfected for 5 hours in medium containing different amounts of FBS using a transfection preparation consisting of 1 mL of 30 complexed with 500 pmole ODN1 for 15 minutes prior to addition to the cells on cover slips in 6-well plates. The cells were observed by fluorescence microscopy 5 hours after the lipid-ODN1 complex
35 was removed to determine the proportion of cells that were transfected as shown by nuclear staining by the fluorescent labeled oligonucleotide ODN1. The results showed that 30 efficiently transfected the cells in the presence of reduced levels of

lipid. The toxicity noted for HL60 cells may have been at least partly due to the high level of ODN1 that was delivered to the cells.

	$\mu\text{g/mL}$	% CV-1	%HL60	
5	<u>30</u>	transfected	transfected	% serum
	2.5	90	-*	10
	5	>95	-	10
	10	>95	-	10
	15	>95	-	10
10	20	95	-	50
	20	90	-	80
	20	-	76**	10
	20	-	77	0

* (-) transfection not done

15 ** significant toxicity noted

Example 9

HUVEC cells were transfected for 5 hours in medium containing different amounts of FBS using 1 mL transfection preparations consisting of of 30 (1:1 mixture with DOPE) or LipofectinTM complexed with 500 pmole ODN1 for 15 minutes prior to addition to the cells on cover slips in 6-well plates. The cells were observed by fluorescence microscopy to determine the proportion of cells that were transfected as shown by nuclear staining. The results showed that 30 transfected HUVEC cells at a modest efficiency.

	$\mu\text{g/mL}$	% HUVEC		
	lipid	transfected	lipid	% serum
	5	1	Lipofectin TM	0
	10	1	Lipofectin TM	10
30	5	1	<u>30</u>	10
	10	5	<u>30</u>	10
	15	5-10	30	10

Example 10

35 EC1 cells were transfected for 5 or 6 hours and NHEK cells were transfected for 24 hours in DMEM containing 10% FBS or serum free OptimemTM using 1 mL of 30 complexed with 250 pmole ODN1 or LipofectinTM complexed with 250 pmole ODN1 for 15 minutes prior to addition to the cells on cover slips in 6-well

plates. The cells were observed by fluorescence microscopy after the lipid-ODN1 complex was removed to determine the proportion of cells that were transfected as shown by nuclear staining. The results showed that 30 efficiently transfected ECI and NHEK cells. Fluorescence observations indicated that high levels of ODN1 were delivered into both ECI and NHEK cells with little to moderate toxicity.

10

	$\mu\text{g/mL}$	% ECI	% NHEK		
	lipid	transfected	transfected	lipid	medium
	10	56*	-	Lipofectin™	Optimem™
15	5	30*	-	<u>30</u>	DMEM
	10	43*	-	<u>30</u>	DMEM
	20	20*	-	<u>30</u>	DMEM
	0	-	0	none	DMEM
	5	-	80-90	<u>30</u>	DMEM
20	10	-	70	<u>30</u>	DMEM
	20	-	60	<u>30</u>	DMEM
	2.5	<5	-	LA**	Optimem™
	5	<5	-	LA	Optimem™
	10	5	-	LA	Optimem™
25	15	0	-	LA	Optimem™
	2.5	10***	-	<u>30</u>	DMEM
	5	25-30***	-	<u>30</u>	DMEM
	10	51***	-	<u>30</u>	DMEM
	15	70***	-	<u>30</u>	DMEM
30	1	-	25	<u>30</u>	DMEM
	2.5	-	50	<u>30</u>	DMEM
	5	-	60-70	<u>30</u>	DMEM
	10	-	60-70	<u>30</u>	DMEM

* 6 hour transfection

35 ** Lipofectamine™ (Gibco/BRL; 2,3-dioleoyloxy-N-[2(sperminecarboxamido)-ethyl]-N,N-dimethyl-1-propaminium trifluoroacetate)

*** 5 hour transfection

Example 11

L7 cells were transfected for 18 hours in medium containing 20% FBS using 1 mL of 30 or Lipofectin™ complexed with 250 pmole ODN1 for 15 minutes prior to addition to the cells on cover slips in 6-well plates. The cells were observed by fluorescence microscopy after the lipid-ODN1 complex was removed to determine the proportion of cells that were transfected as shown by nuclear staining. The results showed that 30 efficiently transfected L7 cells with little or no toxicity.

	$\mu\text{g/mL}$	% L7	
	lipid	transfected	lipid
10	2.5	10	<u>30</u>
	5	30	<u>30</u>
	10	60	<u>30</u>
15	10	0	Lipofectin™

Example 12

SK-BR-3, Caco-2, Caov-3 and MCF7 cells were transfected with ODN1 using 34 which was prepared as described in Example 5 using a 1:1 molar ratio of DOPE colipid. The sonicated lipid-colipid mixture (1 mL of a 2.5, 5 or 10 $\mu\text{g/mL}$ suspension) was mixed with 250 pmole ODN1 and allowed to stand for 15 minutes at room temperature for 15 minutes before adding 1 mL of the lipid-ODN1 complex to the cells. The lipid-ODN1 complex was removed from the cells after 6 hours by washing the cells twice in PBS, followed by observing the cells in serum-containing medium immediately after removing the lipid-ODN1 complex.

		$\mu\text{g lipid}$	% transfected	toxicity*
30	Caco-2	2.5	<5	-
		5.0	10-15	+
		10.0	0	+++
35	Caov-3	2.5	20	-
		5.0	20	-
		10.0	61	+
	MCF7	2.5	30-50	-
		5.0	83	-
		10.0	80	±

SK-BR-3	2.5	60-70	-
	5.0	>90	-
	10.0	>90	\pm

- * (-), no observed toxicity; (\pm), slight toxicity with no dead cells apparent,
 5 (+), moderate toxicity with <10% dead cells, (+++), all cells dead

Example 13

- The optimal molar ratio of cationic lipid:colipid was determined using 34 and DOPE colipid. 34 and DOPE in CHCl_3 were mixed to obtain various molar
 10 ratios of the 2 lipids. The lipids were dried under vacuum, resuspended in deionized water by 10 freeze-thaw cycles, and filtered through a 100 nm Lipofast™ filter (Avestin, Inc.) according to manufacturers instructions to obtain a lipid suspension consisting of particles less than about 100 nm in diameter. CV-1 cells were transfected for 24 hours using 1 mL of 10 $\mu\text{g}/\text{mL}$ lipid and 250
 15 pmole ODN2 and observed immediately after removing the transfection mixture by washing twice with DMEM containing 10% FBS. The efficiency of ODN2 transfection into the cells increased steadily from a 80-90% transfection efficiency at a 34:DOPE ratio of 1:2.5 to a very high efficiency (~100%) at a 2.5:1 ratio. The transfection efficiency with respect to the amount of ODN1 delivered into cells
 20 was highest for the 2.5:1 transfection based on a qualitative estimate of the fluorescence intensity observed in the cells after transfection. The transfection efficiency of the 34:DOPE (1:2) preparation delivered about the same amount of oligonucleotide to CV-1 cells as Lipofectin™ when used according to manufacturer's instructions. No toxicity or slight toxicity was observed after
 25 transfection with the tested preparations.

<u>34</u> :DOPE	
molar ratio	% transfected
1:2.5	80-90
1:2	>95
1:1.5	>95
1:1	>95
1.5:1	>95
2:1	>95
2.5:1	>95

Example 14

The transfection efficiency of **34** was compared with Lipofectin™ and Transfectam™ (Promega, No. E1231) by determining the proportion of transfected cells as observed by fluorescence using ODN-1. Transfection preparations were as follows: #1 was **34** cationic lipid with DOPE colipid (1:1 molar ratio); #2 was Lipofectin™ with DOPE (1:1 molar ratio); #3 was Transfectam™ without colipid; #4 was Transfectam™ with DOPE (1:1 molar ratio). The cells were transfected for 6 hours using 5 µg of lipid with 250 pmole of ODN-1 and viewed immediately after the cells were washed.

transfection	cell line				
	ECL	CV-1	MCF7	SK-BR-3	RAT-2
#1 A*	88	>95	41	44	>95
#1 B	15	>95	81	53	>95
#2 A	0-5	>95	49	27	95
#2 C	0-5	47	50	20	24
#3 A	0-5	16	0-5	0	0-5
#3 C	0	0-5	0-5	0	0
#4 A	0	30	0-5	0-5	25
#4 C	0	22	10	0	21

* - A transfection in Optimem™ without serum; B - transfection in DMEM with 15% FBS; C - transfection in DMEM with 10% FBS.

The transfection efficiency of **34** was also compared to that obtained using Lipofectin™ and Transfectam™ by measuring the transfection efficiency (ODN2) in CV-1 cells using transfection times from 2 to 24 hours. Transfection preparations #1-#4 were used in medium containing 10% FBS and gave the following results.

transfection	transfection time (hours)			
	2	4	6	24
#1	89	>95	>95	>95
#2	85	>95	47	>95
#3	13	39	0-5	80
#4	12	19	22	27

The reduced efficiency of transfection with Lipofectin™ at the 6 hour time point was probably due to transfection of cells that were at about 90-95% confluency, which was more confluent than the 70-80% confluency recommended by the manufacturer. Relatively low cell toxicity was observed in all of the transfections (0-10% dead cells observed after transfection) except with transfection #3 at 24 hours, where about 50% of the cells were dead.

Transfection preparations #1 and #2 were used to transfect CV-1 cells for 6 hours as described except that the transfection medium contained either 25% FBS or 50% FBS. #1 transfected >95% of CV-1 cells in medium containing 25% FBS and 71% in 50% FBS while #2 transfected 21% of the cells in 25% FBS and 0-5% in 50% FBS. The transfection efficiency using 34 in the presence of high levels of serum was thus relatively high.

Example 15

CV-1 cells were transfected with a different molar ratios of 35 and DOPE colipid for 24 hours using 250 pmole of ODN2 and 1 µg of lipid-colipid complex per 1 mL transfection. DMEM with 10% FBS was used in the transfection preparations. 35 was found to transfect about 2- to 10-fold more oligonucleotide into transfected cells than 34 at all tested lipid:colipid ratios. No toxicity or slight toxicity (less than about 5% dead cells after transfection) was observed after transfection with the tested preparations.

<u>35:DOPE</u>		
	<u>molar ratio</u>	<u>% transfected</u>
25	1:1	>95
	1.5:1	>95
	2:1	>95
	2.5:1	>95
	3:1	90
30	<u>5:1</u>	<u>70-90</u>

35 was tested as a 2:1 35:DOPE preparation using 0.5, 1 or 2.5 µg of lipid per 1 mL transfection (CV-1 cells transfected for 24 hours using 250 pmole ODN2). Greater than 95% of the cells were transfected at all 3 lipid concentrations, although the amount of oligonucleotide delivered into cells was reduced by about 10-fold in the transfection using 0.5 µg of lipid preparation relative to the transfections that used 1.0 or 2.5 µg of lipid. No toxicity or slight toxicity (less

than about 5% dead cells after transfection) was observed after transfection with the tested preparations.

Example 16

5 CV-1 cells were transfected for 24 hours with RNA encoding chloramphenicol acetyltransferase (CAT). The transfections used 2.5 µg of RNA, 5 µg of 34 and DMEM with 10% FBS or Optimem™ with no serum. CAT activity was measured by immunofluorescence staining using fluorescent labeled anti-CAT antibodies (5',3' Inc.). The cells were observed as previously described
10 (Wagner, Science (1993) 260:1510). The results showed 1-2% of cells expressed CAT while no control cells transfected with lipid lacking RNA expressed CAT.

Example 17

Transfection preparations #5 (35 and DOPE at a 1:1 molar ratio; 5 µg lipid
15 complex), #6 (5 µg 34 without DOPE colipid), #7 (43 and DOPE at a 1:1 molar ratio; 5 µg lipid complex) and #8 (42 and DOPE at a 1:1 molar ratio; 5 µg lipid complex) were used to transfect CV-1 cells for 48 hours using 250 pmole ODN2. Cells were observed by immunofluorescence immediately after removing the transfection lipids. Transfection #5 resulted in >95% of cells transfected and no
20 visible toxicity, with a very high fluorescence intensity in nearly all nuclei, indicating that high levels of ODN2 were delivered into the cells. Transfection #6 similarly resulted in >95% of cells transfected and no visible toxicity. Transfections #7 and #8 resulted in 44% and 32% of cells transfected respectively, with no visible toxicity.

25

Example 18

Two plasmid DNAs, one encoding the CAT enzyme (Invitrogen, No. V790-20) and the other encoding β-galactosidase (Clontech, No. 6177-1), were transfected into cells in Swiss Webster mice by injecting 50 µL of lipid-plasmid
30 complex intradermally, followed by assaying for CAT and β-galactosidase activity at the site of injection 2 days after injection. The transfection preparations consisted of lipid-nucleic acid complexes as follows:

- #9, 20 µg of a 1:1 34:DOPE complex with 0.5 µg of each plasmid DNA in 1 mL of Optimem™ without serum;
- 35 #10, 20 µg of a 1:1 34:DOPE complex with 1.5 µg of each plasmid DNA in 1 mL of Optimem™ without serum;
- #11, 20 µg of Lipofectin™ with 0.5 µg of each plasmid DNA in 1 mL of Optimem™ without serum;

#12, 20 µg of Lipofectin™ with 1.5 µg of each plasmid DNA in 1 mL of Optimem™ without serum;

#13, 20 µg of DC-cholesterol with 0.5 µg of each plasmid DNA in 1 mL of Optimem™ without serum;

5 #14, 20 µg of DC-cholesterol with 1.5 µg of each plasmid DNA in 1 mL of Optimem™ without serum; and

#15, 20 µg/mL of a 1:1 34:DOPE complex with no plasmid DNA in 1 mL of Optimem™ without serum.

Transfection preparations containing 34 were complexed with the plasmids for
 10 15 to 30 minutes prior to intradermal injection. DC-cholesterol (3-β-[N-(N',N'-dimethylaminoethane)carbonyl]cholesterol) was prepared and used as described (Gao Biochem Biophys Res Commun (1991) 179:280). A 6 mm diameter biopsy of epidermis and dermis was removed from the mice at each injection site. The tissue from each site was homogenized in 0.25 M Tris pH 7.4, 0.1% Triton X-100,
 15 centrifuged and the tissue pellet used to prepare a 150 µL cell extract essentially as described (Gorman Mol Cell Biol (1982) 2:1044). The cell extracts were assayed for CAT and β-galactosidase activity according to published methods (Gorman, *ibid.*; Miller Experiments in Molecular Genetics (1972) CSH press, p 352). β-galactosidase activity was measured using a fluorimeter to measure conversion
 20 of 4-methylumbelliferyl-β-D-galactopyranoside to the fluorescent derivative 4-methylumbelliferone (Prince Proc Natl Acad Sci (1987) 84:156). The error inherent in the assay due to variation in the protein concentrations of the cell extracts was estimated to be less than about ±15%. No signs of toxicity were visually observed at the injection site with any of the transfection preparations.
 25 The following results were obtained.

transfection	CAT*	β-galactosidase**
#9	0.9	100.3
#10	2.1	172.5
30 #11	0.3	121.0
#12	0.3	75.0
#13	0.7	112.0
#14	0.4	79.9
#15	0.0	80.0

35 * - percent acetylation of ¹⁴C labeled chloramphenicol using 50 µL of cell extract

** - fluorescence units using 50 µL of cell extract

Similar methods can be used to transfect oligonucleotides into cells in animals. For example, inhibiting gene expression using an antisense oligonucleotide in cells can be shown by adding an oligonucleotide having a base sequence complementary to CAT or β -galactosidase to a transfection preparation such as #9 or #10. Inhibition of gene expression is then measured by determining the expression of the gene in the presence of oligonucleotide compared to expression that is obtained using transfection preparations lacking antisense oligonucleotide. The nontargeted gene is used as an internal control to detect nonspecific inhibition of transcription that may be caused by the oligonucleotide.

Example 19

ODN2A, which was ODN2 lacking the fluorescent label at the 3' terminus, was used as an antisense oligonucleotide to inhibit T antigen expression in CV-1 cells using the protocol previously described (Wagner Science (1993) 260:1510-1513). CV-1 cells were transfected for 18 hours using 5 μ g of 34 (1:1 molar ratio with DOPE colipid) and then cell nuclei were microinjected with T antigen plasmid using a needle concentration of 0.003 μ g/mL of T antigen plasmid (ibid at page 1513, first column, note 5) and 0.025 μ g/mL of β -galactosidase plasmid. The cells were scored for T antigen expression 4.5 hours after removing the transfection preparation from the cells. The cells were immunostained for β -galactosidase expression as an internal control for microinjected cells and the proportion of cells expressing both T antigen and β -galactosidase was determined. This manner of inhibiting gene expression using this oligomer was previously observed (Wagner, ibid) and 34 thus did not affect the nature of the biological activity previously observed with ODN2A. The results showed that transfection preparations containing 34 efficiently delivered the antisense oligomer into the cells without interfering with the capacity of the oligonucleotide to inhibit gene (protein) expression by binding to the target RNA sequence in the cell. Transfection using 34 compared to transfection using Lipofectin™ indicated that 34 was about 10-fold more efficient in delivering ODN2A into the cells (i.e., about 10-fold less ODN2A was needed to inhibit T antigen expression to an equal extent).

Example 20

Lipid complexes consisting of 35:DOPE (2:1 molar ratio) were prepared as follows. Two molar equivalents of 35 in CHCl_3 and one equivalent of DOPE in CHCl_3 was dried under reduced pressure by rotovap at room temperature.

Deionized water was then added to give 1 mg/mL of total lipid. 10 mL of water containing 10 mg of lipid was vortexed for 5 minutes in a 100 mL round bottom flask. 2 mL aliquots were then used to prepare lipid suspensions for complexing with ODN1. The first preparation was obtained by directly using the vortexed 2 mL aliquot to prepare complexes with ODN1. The second preparation was obtained by 6 cycles of freezing on dry ice and thawing in a 37°C water bath (Baxter, Dura Bath). The third preparation was obtained by placing a culture tube containing the lipid into a Ultra Sonik 100 (NEY) sonicator and the preparation was sonicated for 30 minutes at room temperature using the probe tip at maximum power. The fourth preparation was obtained by 6 cycles of freezing on dry ice and thawing in a 37°C water bath, followed by filtering the suspension through a Lipofast™ 100 nm filter according to the manufacturer's instructions to obtain complexes less than about 100 nm in diameter. The fifth preparation was obtained by sonication for 10 minutes in a sonication bath followed by 5 sonication pulses for 15 seconds each with a probe sonicator (Sonifier 250, Branson Ultrasonics). Each preparation was used to transfect CV-1 cells for 6 hours using 1 µg lipid and 250 nmole ODN1 in 1 mL of medium with 10% FBS. All preparations efficiently transfected CV-1 cells, with some variation observed in the amount of ODN1 delivered to cells and/or some variation in the proportion of cells that were transfected.

Example 21

Compound 46:

A CH₂Cl₂ (20 mL) solution of **45** (Sigma, L-N^α-t-BOC-N^ω-CBZ-Arginine; 0.41 g; 0.1 mmole, Sigma), (BOC)₂O (0.24 g; 1.1 mmole) and TEA (0.4 g; 4 mmole) was refluxed for 3 hrs and then at room temperature for 5 hours. The reaction was concentrated and purified by flash column chromatography affording 0.27 g, 72%, of compound **46**. NMR (DMSO-d₆): δ 9.17 (b, 2H), 7.30-7.40 (m, 5H), 6.40 (b, 1H), 5.05 (s, 2H), 3.60-3.90 (m, 3H), 1.30-1.75 (2s+m, 2x9H + 4H).

Compound 47:

A CH₂Cl₂ (10 mL) solution of **46** (260 mg; 0.51 mmole) was activated with NHS (65 mg; 0.56 mmole) and 1,3-dicyclohexylcarbodiimide (DCC) (126 mg; 0.61 mmole) at room temperature for 30 min. Activated compound **46** (0.51 mmole) was then reacted with **25** (NH₂CH₂C(O)N(R¹)₂ where both R¹ were n-C₁₄H₂₉) (0.24 g; 0.51 mmole) in the presence of TEA (0.1 g; 1.0 mmole) at room temperature for 3 hours. The reaction mixture was quenched with water. The solid was filtered off and washed with CH₂Cl₂. The filtrate was washed with water, dried, concentrated and purified by flash column chromatography,

affording 0.37 g of **47** (75%). NMR (CDCl₃): δ 9.30-9.45 (m, 2H), 7.10-7.41 (m, 6H), 5.39 (d, 1H, J=4.5 Hz), 5.15 (s, 2H), 4.20 (m, 1H), 3.80-4.05 (m, 4H), 3.45 (m, 1H), 3.20-3.38 (m, 2H), 3.09 (t, 2H, J=7.8 Hz), 1.05-2.00 (m+2s, 70H), 0.88 (t, 6H, J=6.4 Hz).

Compound 48:

- 5 **47** was dissolved in ethanol (20 mL) and hydrogenated at 50 p.s.i. in the presence of 10% Pd/C for 40 hours. The catalyst was filtered off and the filtrate containing **48** was concentrated to dryness. NMR (DMSO-d₆): δ 8.60 (b, 3H), 7.79 (b, 1H), 6.99 (d, 1H, J=8.4 Hz), 3.75-4.0 (m, 2H), 3.50-3.60 (m, 1H), 1.00-1.70 (m, 70H), 0.88 (t, 6H, J=6.4 Hz).

10 **Compound 49:**

- A CH₂Cl₂ (5 mL) solution of **48** (50 mg; 0.15 mmole), acetic anhydride (16 mg; 0.15 mmole) and TEA (31 mg; 0.31 mmole) was stirred at room temperature for 1 hour. The reaction mixture was poured into 10% citric acid aqueous solution, dried, and purified by flash column chromatography, affording 50 mg
- 15 (78%) of **49**. NMR (CDCl₃): δ 10.40 (b, 1H), 9.26 (b, 1H), 7.09 (b, 1H), 5.27 (d, 1H, J=8.1 Hz), 4.20-4.22 (m, 1H), 4.00 (s, 2H), 3.87-3.95 (m, 2H), 3.30 (t, 2H, J=8.0 Hz), 3.14 (t, 2H, J=7.6 Hz), 2.13 (s, 3H), 1.10-2.0 (m, 70H), 0.87 (t, 6H, J=6.4 Hz).

Compound 50:

- A CH₂Cl₂ (5 mL) solution of **48** (51 mg; 0.15 mmole), isopropyl
- 20 chloroformate (170 μ L of a 1 M solution in toluene; 0.17 mmole) and TEA (40 mg; 0.39 mmole) was stirred at room temperature for 1 hour. The reaction mixture was poured into 10% citric acid aqueous solution, dried, and purified by flash column chromatography, affording 57.3 mg (79%) of **50**. NMR (CDCl₃): δ 9.44 (b, 1H), 9.27 (b, 1H), 7.16 (b, 1H), 5.34 (d, 1H, J=8.1 Hz), 4.80-4.90 (m, 1H), 4.18-
- 25 4.20 (m, 1H), 4.00 (s, 2H), 3.80-3.98 (m, 2H), 3.30 (t, 2H, J=8.3 Hz), 3.14 (t, 2H, J=7.6 Hz), 1.0-2.0 (m, 76H), 0.87 (t, 6H, J=6.3 Hz).

Compound 51:

- A CH₂Cl₂ (5 mL) solution of **48** (51.3 mg; 0.15 mmole), distilled
- 30 trimethylacetyl chloride (21 mg; 0.17 mmole) and TEA (40 mg; 0.39 mmole) was stirred at room temperature for 1 hour. The reaction mixture was poured into 10% citric acid aqueous solution, dried, and purified by flash column chromatography, affording 61 mg (84%) of **51**. NMR (CDCl₃): δ 10.30 (b, 1H), 9.16 (b, 1H), 7.03 (b, 1H), 5.02 (d, 1H, J=7.6 Hz), 4.15-4.20 (m, 1H), 3.80-4.10 (m, 4H), 3.30 (t, 2H, J=7.8 Hz), 3.14 (t, 2H, J=7.5 Hz), 1.0-2.0 (m, 79H), 0.88 (t, 6H, J=6.4 Hz).

35 **Compound 52:**

49 (47 mg) was treated with 2N HCl in 1,4-dioxane (3 mL) at room temperature for 3 hours. The reaction mixture containing **54** was concentrated to dryness, azeotroped with CH₃CN twice and dried under vacuum overnight.

NMR (DMSO-d₆): δ 12.10 (s, H), 9.00 (b, H), 8.60 (b, 1H), 8.25 (b, 3H), 3.80-4.10 (m, 3H), 2.15 (s, 3H), 1.10-1.90 (m, 52H), 0.88 (t, 6H). Compound 53:

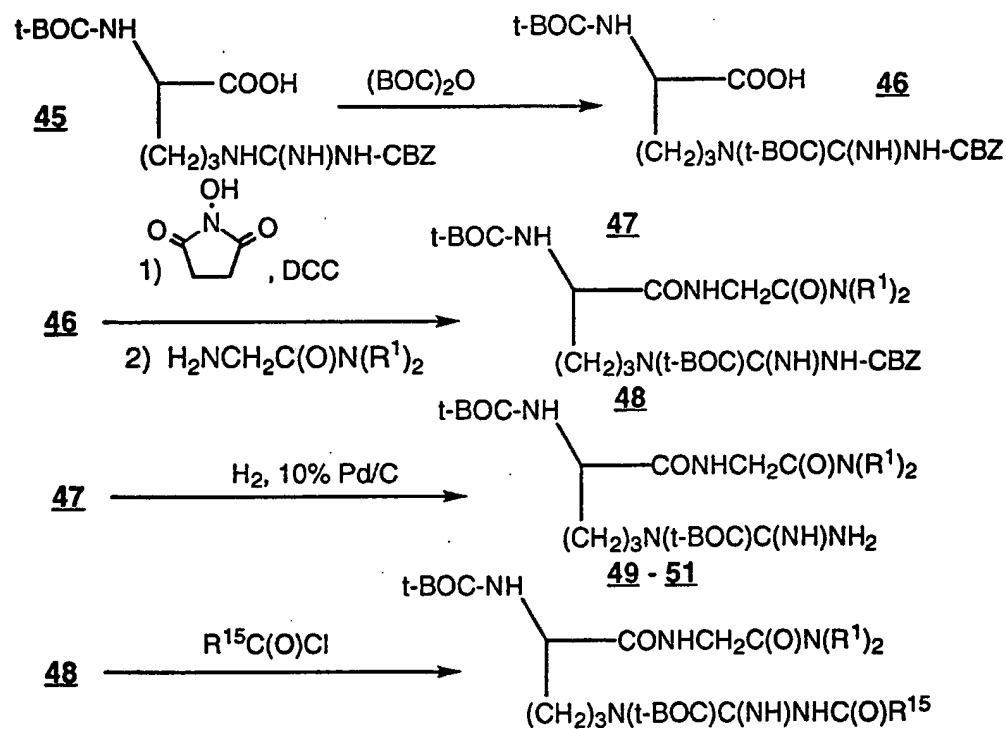
50 (50 mg) was treated with 2N HCl in 1,4-dioxane (3 mL) at room temperature for 3 hours. The reaction mixture containing 52 was concentrated to dryness, azeotroped with CH₃CN twice and dried under vacuum overnight.

NMR (DMSO-d₆ + HCl): δ 11.20 (s, N δ -H), 8.20-8.98 (m, N α -H₃, N ω -H₂, N-H, N δ -H), 4.93 (m, 1H), 1.10-1.85 (m, 76H), 0.88 (t, 6H).

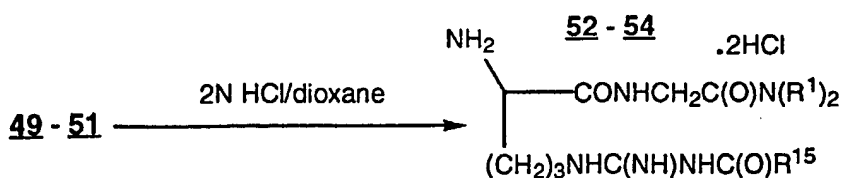
Compound 54:

51 (52 mg) was treated with 2N HCl in 1,4-dioxane (3 mL) at room temperature for 3 hours. The reaction mixture containing 53 was concentrated to dryness, azeotroped with CH₃CN twice and dried under vacuum overnight.

NMR (DMSO-d₆ + HCl): δ 11.42 (s, N δ -H), 9.54 (b, N δ -H), 9.15 (b, N ω -H), 8.89 (b, N ω -H), 8.64 (t, N-H), 8.26 (b, N α -H₃), 3.82-4.10 (m, 3H), 3.18-3.40 (m, 6H), 1.10-1.85 (m, 79H), 0.88 (t, 6H).



49: R¹⁵ = CH₃; 50: R¹⁵ = OCH(CH₃)₂; 51: R¹⁵ = C(CH₃)₃



52: R¹⁵ = CH₃; 53: R¹⁵ = OCH(CH₃)₂; 54: R¹⁵ = C(CH₃)₃

Example 22

Lipids 35, 52, 53, 54 and 55 were each prepared using a 2:1 lipid:DOPE molar ratio as follows. Two molar equivalents of each lipid in CHCl₃ and one equivalent of DOPE in CHCl₃ was dried under reduced pressure by rotovap at room temperature. Deionized water was then added to give 1 mg/mL of total lipid. 10 mL of water containing 10 mg of lipid was vortexed for 5 minutes in a 100 mL round bottom flask. 2 mL aliquots were then used to prepare lipid suspensions for complexing with ODN1. Each preparation was obtained by 6 cycles of freezing on dry ice and thawing in a 37°C water bath.

CV-1 cells at about 80% confluency were transfected for 6 hours in DMEM medium containing 10% FBS using 1 mL of lipid complexed with 250 pmole ODN1 for 15 minutes prior to addition to the cells on cover slips in 6-well plates. The cells were observed by fluorescence microscopy immediately after the lipid-ODN1 complex was removed to determine the proportion of cells that were transfected as shown by cytoplasmic and nuclear staining by the fluorescent labeled oligonucleotide ODN1. The results showed that the tested compounds efficiently transfected CV-1 cell lines in the presence of serum with little or no toxicity to the cells.

	Compound	lipid (μg)	% cells	
			transfected	toxicity
25	<u>35</u> **	1	40	-*
		2.5	85	+
		5.0	100	+
		10.0	60	++
30	<u>55</u>	1	40	-
		2.5	75	+
		5.0	100	+
		10.0	40	++

5	<u>52</u>	1	30-40	-
		2.5	60	+
		5.0	60	+
		10.0	60	++
10	<u>53</u>	1	30	-
		2.5	70	+
		5.0	100	+
		10.0	60	++
15	<u>54</u>	1	10-20	-
		2.5	30-40	+
		5.0	70-80	+
		10.0	40	++

* (+) low toxicity with no dead cells apparent and occasional change in cell morphology; (++) significant toxicity with $\geq 40\%$ of cells dead or dying; (-) no significant toxicity observed

** cells were relatively uniformly stained

20 Compounds 35, 53 and 55 were used to transfect CV-1 cells with a 21-mer antisense phosphorothioate-linked oligonucleotide analog containing a base sequence complementary to a 21 base region near the middle of the cdc-2 kinase gene mRNA. The oligonucleotide contained 5-(1-propynyl)cytosine in place of cytosine and 5-(1-propynyl)uracil in place of uracil. A control oligonucleotide

25 analog having a mismatched base sequence was also used to check for any non-specific effect on cdc-2 kinase levels in the transfected cells caused by the oligonucleotide analog. A control containing only lipid was also used as a control. The transfections were conducted essentially as described in Example 6 using 2.5 μg and 5.0 μg of lipid per transfection with an oligonucleotide analog

30 concentration of 30 nM. Protein levels were examined by Western blot analysis. The results indicated that transfections using the cdc-2 antisense oligonucleotide analog efficiently reduced cdc-2 protein levels when transfected into the cells with each of the tested lipids. Control transfections using lipid alone or using lipid with the mismatched oligonucleotide analog did not affect cdc-2 protein

35 levels.

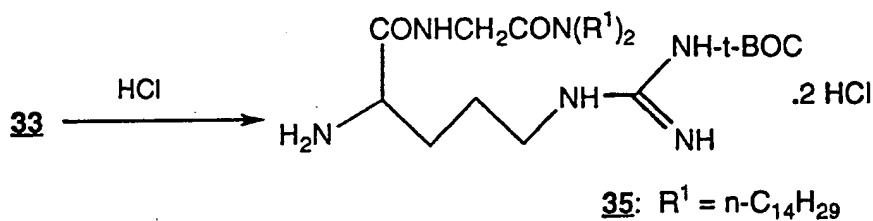
Example 23

Compound 55:

To a solution of **33** (0.365 g) in 2.75 mL of dry dioxane under a nitrogen atmosphere was added at room temperature 4N HCl (2.75 mL) in dioxane. The progress of the reaction was followed by reverse phase HPLC (Vydac C18 column, 4.6x250 mm; mobile phase 90% methanol, 10% 50 mM ammonium acetate; 1 mL/minute flow rate; column temperature 60° C; photodiode detector array). Compound **55** eluted with a peak at about 7.4 min. and **35** eluted with a peak at about 9.6 min. The reaction was stopped by removing HCl and the solvent under reduced pressure when the fully protected species, **33**, and its mono-deprotected derivatives were completely converted to a mixture of **35** and **55**. The reaction mixture was concentrated *in vacuo* to a residue and the residue azeotrope two times with acetonitrile. A 0.125 g portion of the residue was purified on a C-8 reverse phase HPLC column (E. Merck) by eluting with a 50-100% methanol-water gradient. Fractions corresponding to **35** and **55** were combined and concentrated *in vacuo* and the residue azeotrope twice in acetonitrile to give 0.021 g of an oil. The HCl salt of **35** and **55** was prepared by dissolving the residue in dioxane, adding about an equal volume of 4N HCl in dioxane and concentrating to a residue *in vacuo*. The resulting residue was azeotrope twice in acetonitrile.

35, **55** and mono-deprotected derivatives of **33** were also separated by TCL using silica gel 60 (normal phase) and 65:25:4 chloroform:methanol: water. **35** had the lowest mobility ($R_f = 0.25$), **55** mobility was $R_f = 0.54$ and the mobility of mono-deprotected derivatives of **33** was 0.96. The compounds were detected by iodine vapor or by ninhydrin stain for **35** and **55**.

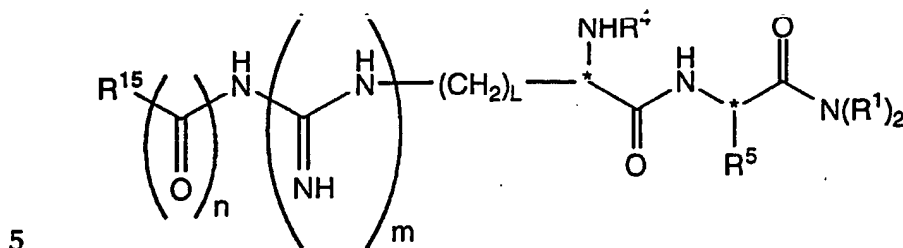
35: $^1\text{H NMR}$ (DMSO- d_6 , 400 MHz) 8.06 (br s, 1H), 3.89 (br s, 2H), 3.27 (br s, 1H), 3.15 (m, 4H), 3.02 (br s, 2H), 1.6-1.4 (m), 1.31 (s, 9H), 1.20 (m), 0.82 (t, $J=7.5$ Hz, 6H). MS (FAB, m/e) = 723.6 ($M+1$), 623.6 ($M+1$ -BOC).



Each of the cited works above is incorporated by reference in its entirety. Specifically cited sections or pages of the above cited works are incorporated by reference with specificity.

CLAIMS

1. A compound having the structure



wherein each R^1 is independently alkyl (10-22 C) or a mono unsaturated alkenyl (10-22 C) group;

each R^4 is independently hydrogen or is a protecting group;

- 10 R^5 is H, CH_3 , $\text{CH}(\text{CH}_3)_2$, $\text{CH}_2\text{CH}(\text{CH}_3)_2$, $\text{CH}(\text{CH}_3)\text{CH}_2\text{CH}_3$, $\text{CH}_2\text{C}_6\text{H}_5$, $\text{CH}_2\text{C}_6\text{H}_4\text{-p-OH}$, CH_2OH , $\text{CH}(\text{OH})\text{CH}_3$, $(\text{CH}_2)_4\text{NHR}^4$, $(\text{CH}_2)_3\text{NHR}^4$ or $(\text{CH}_2)_3\text{NR}^4\text{C}(\text{NH})\text{NHR}^4$;

- R^{15} is alkyl; alkyl substituted with halogen, hydroxyl, $\text{S}(\text{O})_2$, O-alkyl or O-aryl; alkenyl; alkenyl substituted with halogen, hydroxyl, $\text{S}(\text{O})_2$, O-alkyl or O-aryl; aryl; aryl substituted with halogen, hydroxyl, alkyl, or alkyl substituted with halogen, hydroxyl, $\text{S}(\text{O})_2$, O-alkyl or O-aryl; heteroaryl; heteroaryl substituted with halogen, hydroxyl, alkyl, or alkyl substituted with halogen, hydroxyl, $\text{S}(\text{O})_2$, O-alkyl or O-aryl; $\text{N}(\text{H})\text{alkyl}$; $\text{N}(\text{alkyl})_2$ wherein each alkyl group is independently chosen; O-alkyl; O-aryl; alkylaryl; O-alkylaryl; alkylheteroaryl; or
- 20 O-alkylheteroaryl;

L is an integer having a value of 2, 3, 4, 5, 6 or 7;

m is an integer having a value of 0 or 1;

n is an integer having a value of 0 or 1;

- provided that when L is 3 or 4, m is 0, n is 1, each R^1 is independently alkyl (12-22C) or alkenyl (12-22C), and R^{15} together with the $\text{C}(\text{O})$ group to which it is linked, is a protecting group, then R^4 is hydrogen;
- 25

provided that when L is 3, m is 1, n is 1, each R^1 is independently alkyl (12-22C) or alkenyl (12-22C), and R^{15} together with the $\text{C}(\text{O})$ group to which it is linked, is a protecting group, then R^4 is hydrogen;

- 30 and the salts, solvates, resolved and unresolved enantiomers and diastereomers thereof.

2. The compound of claim 1 wherein L is 3 or 4, m is 1, n is 1, each R¹ is independently alkyl (12-16C), R⁴ is hydrogen or t-BOC, R⁵ is H and R¹⁵ is alkyl (1-6C).

5 3. The compound of claim 1 wherein R¹⁵ is alkyl (1-4C).

4. The compound of claim 3 wherein L is 3 or 4, m is 1, n is 1, each R¹ is independently alkyl (12-16C), R⁴ is hydrogen or t-BOC, R⁵ is H and R¹⁵ is -CH₃ or -C(CH₃)₃, -O-CH(CH₃)₂ or -O-C(CH₃)₃.

10

5. The compound of claim 4 wherein each R¹ is n-C₁₄H₂₉ and L is 3.

6. The compound of claim 1 wherein L is 3 or 4, m is 1, n is 1, each R¹ is independently alkyl (12-16C), R⁴ is hydrogen or t-BOC, R⁵ is H and R¹⁵ is alkyl (3-6C).

15

7. The compound of claim 6 wherein each R¹ is n-C₁₄H₂₉.

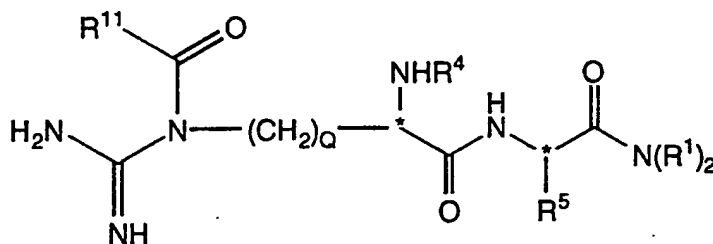
8. The compound of claim 1 wherein L is 3 or 4, m is 1, n is 0, each R¹ is independently alkyl (12-16C), R⁴ is hydrogen or t-BOC, R⁵ is H, R¹⁵ is -CH₃, -CH₂CH₃, -CH₂CH₂CH₃, -CH(CH₃)₂ or -C(CH₃)₃.

20

9. The compound of claim 8 wherein each R¹ is n-C₁₄H₂₉.

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10. A compound having the structure



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wherein

each R¹ is independently alkyl (10-22 C) or a mono unsaturated alkenyl (10-22 C) group;

each R⁴ is independently hydrogen or is a protecting group;

R⁵ is H, CH₃, CH(CH₃)₂, CH₂CH(CH₃)₂, CH(CH₃)CH₂CH₃, CH₂C₆H₅, CH₂C₆H₄-p-OH, CH₂OH, CH(OH)CH₃, (CH₂)₄NHR⁴, (CH₂)₃NHR⁴ or (CH₂)₃NR⁴C(NH)NHR⁴;

R¹⁵ is alkyl; alkyl substituted with halogen, hydroxyl, S(O)₂, O-alkyl or O-aryl; alkenyl; alkenyl substituted with halogen, hydroxyl, S(O)₂, O-alkyl or O-aryl; aryl; aryl substituted with halogen, hydroxyl, alkyl, or alkyl substituted with halogen, hydroxyl, S(O)₂, O-alkyl or O-aryl; heteroaryl; heteroaryl substituted with halogen, hydroxyl, alkyl, or alkyl substituted with halogen, hydroxyl, S(O)₂, O-alkyl or O-aryl; N(H)alkyl; N(alkyl)₂ wherein each alkyl group is independently chosen; O-alkyl; O-aryl; alkylaryl; O-alkylaryl; alkylheteroaryl; or O-alkylheteroaryl;

Q is an integer having a value of 3 or 4;

provided that when each R¹ is independently alkyl (12-22C) or alkenyl (12-22C), and R¹¹ is a protecting group, then R⁴ is hydrogen;

and the salts, solvates, resolved and unresolved enantiomers and diastereomers thereof.

11. The compound of claim 10 wherein R¹¹ is alkyl (1-8C); (2) alkyl (1-8C) substituted with halogen, hydroxyl or S(O)₂; alkenyl (1-8C); alkenyl (1-8C) substituted with halogen, hydroxyl or S(O)₂; aryl substituted with halogen, hydroxyl, alkyl, or alkyl substituted with halogen, hydroxyl, S(O)₂, O-alkyl or O-aryl; heteroaryl; heteroaryl substituted on a ring carbon with halogen, hydroxyl, alkyl, or alkyl substituted with halogen, hydroxyl, S(O)₂, O-alkyl (1-8C); O-alkyl (1-8C) substituted with halogen, hydroxyl or S(O)₂; alkenyl (1-8C); N(H)alkyl (1-8C); N(alkyl)₂ (1-8C); N(H)alkyl (1-8C) substituted with halogen, hydroxyl or S(O)₂; alkylaryl (1-4C alkyl); O-alkylaryl (1-4C alkyl, aryl substituted on a ring carbon with halogen, hydroxyl, alkyl (1-4C), or alkyl substituted with halogen, hydroxyl, S(O)₂, O-alkyl (1-4C); O-alkylheteroaryl (1-4C alkyl); or O-alkylheteroaryl (1-4C alkyl, heteroaryl substituted on a ring carbon with halogen, hydroxyl, alkyl (1-4C), or alkyl substituted with halogen, hydroxyl, S(O)₂, O-alkyl (1-4C).

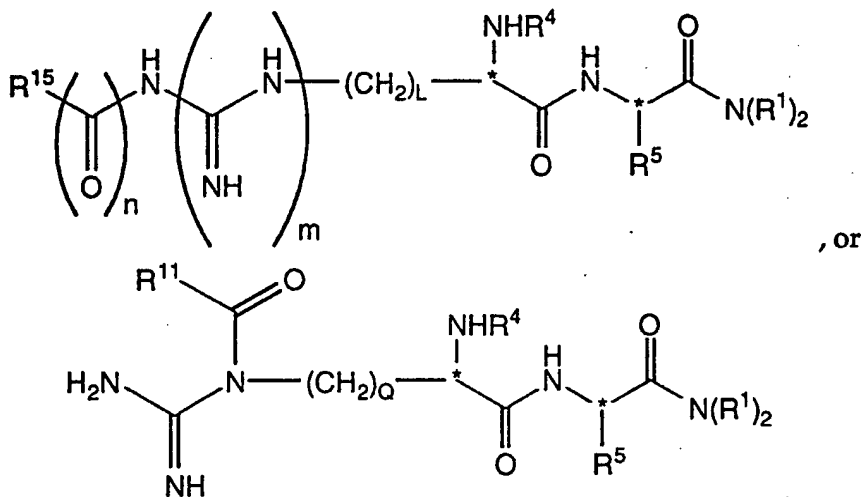
12. The compound of claim 11 wherein each R¹ is independently alkyl (12-16C), R⁴ is hydrogen, R⁵ is H and R¹¹ is alkyl (1-4C).

13. The compound of claim 12 wherein R¹¹ is -CH₃, -CH(CH₃)₂, -C(CH₃)₃, -O-CH(CH₃)₂ or -O-C(CH₃)₃.

14. The compound of claim 13 wherein each R^1 is $n\text{-C}_{14}\text{H}_{29}$.

15. A composition comprising a polyanion and a lipid having the structure

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10 wherein each R^1 is independently alkyl (10-22 C) or a mono unsaturated alkenyl (10-22 C) group;

each R^4 is independently hydrogen or is a protecting group;

R^5 is H, CH_3 , $\text{CH}(\text{CH}_3)_2$, $\text{CH}_2\text{CH}(\text{CH}_3)_2$, $\text{CH}(\text{CH}_3)\text{CH}_2\text{CH}_3$, $\text{CH}_2\text{C}_6\text{H}_5$, $\text{CH}_2\text{C}_6\text{H}_4\text{-p-OH}$, CH_2OH , $\text{CH}(\text{OH})\text{CH}_3$, $(\text{CH}_2)_4\text{NHR}^4$, $(\text{CH}_2)_3\text{NHR}^4$ or $(\text{CH}_2)_3\text{NR}^4\text{C}(\text{NH})\text{NHR}^4$;

15 R^{11} is alkyl; alkyl substituted with halogen, hydroxyl, $\text{S}(\text{O})_2$, O-alkyl or O-aryl; alkenyl; alkenyl substituted with halogen, hydroxyl, $\text{S}(\text{O})_2$, O-alkyl or O-aryl; aryl; aryl substituted with halogen, hydroxyl, alkyl, or alkyl substituted with halogen, hydroxyl, $\text{S}(\text{O})_2$, O-alkyl or O-aryl; heteroaryl; heteroaryl substituted with halogen, hydroxyl, alkyl, or alkyl substituted with halogen, hydroxyl, $\text{S}(\text{O})_2$, O-alkyl or O-aryl; N(H)alkyl; N(alkyl) $_2$ wherein each alkyl group is
20 independently chosen; O-alkyl; O-aryl; alkylaryl; O-alkylaryl; alkylheteroaryl; or O-alkylheteroaryl;

R^{15} is alkyl; alkyl substituted with halogen, hydroxyl, $\text{S}(\text{O})_2$, O-alkyl or O-aryl; alkenyl; alkenyl substituted with halogen, hydroxyl, $\text{S}(\text{O})_2$, O-alkyl or O-aryl; aryl; aryl substituted with halogen, hydroxyl, alkyl, or alkyl substituted with halogen, hydroxyl, $\text{S}(\text{O})_2$, O-alkyl or O-aryl; heteroaryl; heteroaryl substituted with halogen, hydroxyl, alkyl, or alkyl substituted with halogen, hydroxyl, $\text{S}(\text{O})_2$, O-alkyl or O-aryl; N(H)alkyl; N(alkyl) $_2$ wherein each alkyl group is
25

independently chosen; O-alkyl; O-aryl; alkylaryl; O-alkylaryl; alkylheteroaryl; or O-alkylheteroaryl;

L is an integer having a value of 2, 3, 4, 5, 6 or 7;

m is an integer having a value of 0 or 1;

5 n is an integer having a value of 0 or 1;

Q is an integer having a value of 3 or 4;

provided that when L is 3 or 4, m is 0, n is 1, each R¹ is independently alkyl (12-22C) or alkenyl (12-22C), and R¹⁵ together with the C(O) group to which it is linked, is a protecting group, then R⁴ is hydrogen;

10 provided that when L is 3, m is 1, n is 1, each R¹ is independently alkyl (12-22C) or alkenyl (12-22C), and R¹⁵ together with the C(O) group to which it is linked, is a protecting group, then R⁴ is hydrogen; and

provided that when each R¹ is independently alkyl (12-22C) or alkenyl (12-22C), and R¹¹ is a protecting group, then R⁴ is hydrogen;

15 and the salts, solvates, resolved and unresolved enantiomers and diastereomers thereof.

16. The composition of claim 15 wherein

20 L is 3 or 4, m is 1, n is 1, each R¹ is independently alkyl (12-16C), R⁴ is hydrogen or t-BOC, R⁵ is H and R¹⁵ is alkyl (1-4C); or

L is 3 or 4, m is 1, n is 1, each R¹ is independently alkyl (12-16C), R⁴ is hydrogen or t-BOC, R⁵ is H and R¹⁵ is -CH₃, -O-CH(CH₃)₂, or -C(CH₃)₃; or

each R¹ is independently alkyl (12-16C), R⁴ is hydrogen, R⁵ is H and R¹¹ is alkyl (1-4C).

25

17. The composition of claim 15 wherein the polyanion is a nucleopolymer.

18. The composition of claim 17 wherein the nucleopolymer is an oligonucleotide or an expression vector capable of expressing a polypeptide in a cell.

30

19. A method to transfect a cell comprising contacting the composition of claim 15 with the cell.

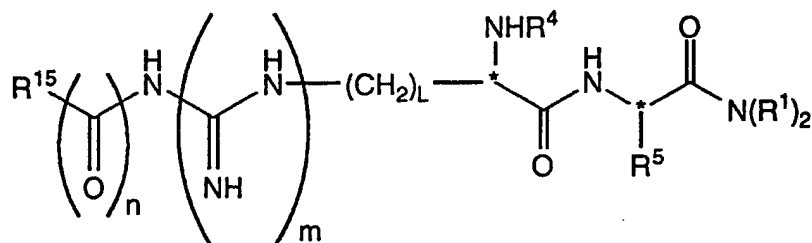
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20. A method to inhibit the expression of a protein in a cell comprising contacting the composition of claim 18 with the cell wherein the oligonucleotide

has a base sequence that is substantially complementary to an RNA sequence that encodes the protein.

21. A compound having the structure

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wherein each R¹ is independently alkyl (10-11C) or a mono unsaturated alkenyl (10-11C) group;

10 each R⁴ is independently hydrogen or is a protecting group;

R⁵ is H, CH₃, CH(CH₃)₂, CH₂CH(CH₃)₂, CH(CH₃)CH₂CH₃, CH₂C₆H₅, CH₂C₆H₄-p-OH, CH₂OH, CH(OH)CH₃, (CH₂)₄NHR⁴, (CH₂)₃NHR⁴ or (CH₂)₃NR⁴C(NH)NHR⁴;

15 R¹⁵ is alkyl; alkyl substituted with halogen, hydroxyl, S(O)₂, O-alkyl or O-aryl; alkenyl; alkenyl substituted with halogen, hydroxyl, S(O)₂, O-alkyl or O-aryl; aryl; aryl substituted with halogen, hydroxyl, alkyl, or alkyl substituted with halogen, hydroxyl, S(O)₂, O-alkyl or O-aryl; heteroaryl; heteroaryl substituted with halogen, hydroxyl, alkyl, or alkyl substituted with halogen, hydroxyl, S(O)₂, O-alkyl or O-aryl; N(H)alkyl; N(alkyl)₂ wherein each alkyl group is
20 independently chosen; O-alkyl; O-aryl; alkylaryl; O-alkylaryl; alkylheteroaryl; or O-alkylheteroaryl;

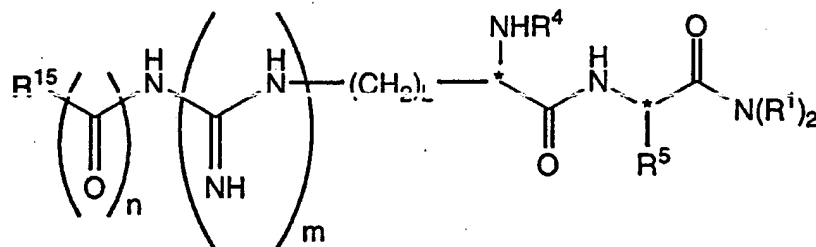
L is an integer having a value of 2, 3, 4, 5, 6 or 7;

m is an integer having a value of 0 or 1;

n is an integer having a value of 0 or 1;

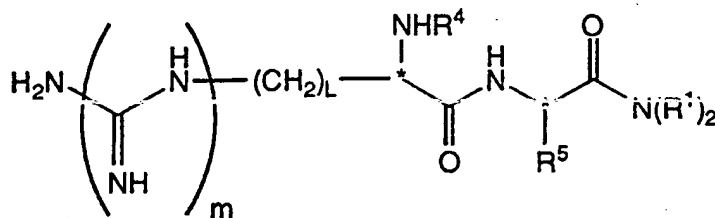
25 and the salts, solvates, resolved and unresolved enantiomers and diastereomers thereof.

22. A compound having the structure



- 5 wherein each R¹ is independently alkyl (10-22C) or a mono unsaturated alkenyl (10-22C) group;
each R⁴ is independently hydrogen or is a protecting group;
R⁵ is H, CH₃, CH(CH₃)₂, CH₂CH(CH₃)₂, CH(CH₃)CH₂CH₃, CH₂C₆H₅,
CH₂C₆H₄-p-OH, CH₂OH, CH(OH)CH₃, (CH₂)₄NHR⁴, (CH₂)₃NHR⁴ or
10 (CH₂)₃NR⁴C(NH)NHR⁴;
R¹¹ is alkyl; alkyl substituted with halogen, hydroxyl, S(O)₂, O-alkyl or O-aryl; alkenyl; alkenyl substituted with halogen, hydroxyl, S(O)₂, O-alkyl or O-aryl; aryl; aryl substituted with halogen, hydroxyl, alkyl, or alkyl substituted with halogen, hydroxyl, S(O)₂, O-alkyl or O-aryl; heteroaryl; heteroaryl substituted
15 with halogen, hydroxyl, alkyl, or alkyl substituted with halogen, hydroxyl, S(O)₂, O-alkyl or O-aryl; N(H)alkyl; N(alkyl)₂ wherein each alkyl group is independently chosen; O-alkyl; O-aryl; alkylaryl; O-alkylaryl; alkylheteroaryl; or O-alkylheteroaryl;
R¹⁵ is alkyl; alkyl substituted with halogen, hydroxyl, S(O)₂, O-alkyl or O-aryl; alkenyl; alkenyl substituted with halogen, hydroxyl, S(O)₂, O-alkyl or O-aryl; aryl; aryl substituted with halogen, hydroxyl, alkyl, or alkyl substituted with halogen, hydroxyl, S(O)₂, O-alkyl or O-aryl; heteroaryl; heteroaryl substituted
20 with halogen, hydroxyl, alkyl, or alkyl substituted with halogen, hydroxyl, S(O)₂, O-alkyl or O-aryl; N(H)alkyl; N(alkyl)₂ wherein each alkyl group is independently chosen; O-alkyl; O-aryl; alkylaryl; O-alkylaryl; alkylheteroaryl; or O-alkylheteroaryl;
25 L is an integer having a value of 2, 5, 6 or 7;
m is an integer having a value of 0 or 1;
n is an integer having a value of 0 or 1;
30 and the salts, solvates, resolved and unresolved enantiomers and diastereomers thereof.

23. A compound having the structure



5 wherein each R^1 is independently alkyl (10-22C) or a mono unsaturated alkenyl (10-22C) group;

each R^4 is independently hydrogen or is a protecting group;

R^5 is H, CH_3 , $\text{CH}(\text{CH}_3)_2$, $\text{CH}_2\text{CH}(\text{CH}_3)_2$, $\text{CH}(\text{CH}_3)\text{CH}_2\text{CH}_3$, $\text{CH}_2\text{C}_6\text{H}_5$, $\text{CH}_2\text{C}_6\text{H}_4\text{-p-OH}$, CH_2OH , $\text{CH}(\text{OH})\text{CH}_3$, $(\text{CH}_2)_4\text{NHR}^4$, $(\text{CH}_2)_3\text{NHR}^4$ or

10 $(\text{CH}_2)_3\text{NR}^4\text{C}(\text{NH})\text{NHR}^4$;

m is an integer having a value of 0 or 1;

L is an integer having a value of 2, 5, 6 or 7;

and the salts, solvates, resolved and unresolved enantiomers and
diastereomers thereof.

15

INTERNATIONAL SEARCH REPORT

International Application No
PCT/US 95/08567

A. CLASSIFICATION OF SUBJECT MATTER
IPC 6 C07K 06 A61K9/127

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)
IPC 6 C07K A61K

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	EP,A,0 394 111 (CENTRE NATIONAL DE LA RECHERCHE SCIENTIFIQUE) 24 October 1990 see claim 5; example 1 ---	1-23
Y	PROCEEDINGS OF THE NATIONAL ACADEMY OF SCIENCES OF USA, vol.86, no.18, September 1989, WASHINGTON US pages 6982 - 6 J-P BEHR ET. AL. 'Efficient gene transfer into mammalian primary endocrine cells with lipopolyamine coated DNA.' see whole document ---	1-23
A	EP,A,0 348 942 (DAIICHI PHARMACEUTICAL CO. LTD.) 3 January 1990 see whole document --- -/--	1-23

☒ Further documents are listed in the continuation of box C.

☒ Patent family members are listed in annex.

* Special categories of cited documents :

- "A" document defining the general state of the art which is not considered to be of particular relevance
- "E" earlier document but published on or after the international filing date
- "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- "O" document referring to an oral disclosure, use, exhibition or other means
- "P" document published prior to the international filing date but later than the priority date claimed

- "T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
- "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.
- "&" document member of the same patent family

Date of the actual completion of the international search

26 October 1995

Date of mailing of the international search report

- 7. 11. 95

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2
NL - 2280 HV Rijswijk
Tel. (+ 31-70) 340-2040, Tx. 31 651 epo nl,
Fax (+ 31-70) 340-3016

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Helps, I

INTERNATIONAL SEARCH REPORT

Int. Application No
PCT/US 95/08567

C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT		
Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	WO,A,93 05162 (UNIVERSITY OF TENNESSEE RESEARCH CORPORATION) 18 March 1992 cited in the application see claims; examples ---	1-23
A	WO,A,94 05624 (LIFE TECHNOLOGIES INC.) 17 March 1994 cited in the application see claims; examples ---	1-23
A	JOURNAL OF LIPOSOME RESEARCH, vol.4, no.1, March 1994, NEW YORK US pages 289 - 99 A. SINGHAL ET. AL. 'Direct Gene Transfer by Liposomes.' see whole document -----	1-23

INTERNATIONAL SEARCH REPORT

International application No.

PCT/US 95/08567

Box I Observations where certain claims were found unsearchable (Continuation of item 1 of first sheet)

This international search report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

1. ☐ Claims Nos.:
because they relate to subject matter not required to be searched by this Authority, namely:
Although claims 19 and 20 are drawn to a method of treatment of the human or animal body by therapy (Rule 39.1(iv)PCT), the search has been carried out and based on the alleged effects of the compounds/compositions.
2. ☐ Claims Nos.:
because they relate to parts of the international application that do not comply with the prescribed requirements to such an extent that no meaningful international search can be carried out, specifically:
3. ☐ Claims Nos.:
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

Box II Observations where unity of invention is lacking (Continuation of item 2 of first sheet)

This International Searching Authority found multiple inventions in this international application, as follows:

1. ☐ As all required additional search fees were timely paid by the applicant, this international search report covers all searchable claims.
2. ☐ As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
3. ☐ As only some of the required additional search fees were timely paid by the applicant, this international search report covers only those claims for which fees were paid, specifically claims Nos.:
4. ☐ No required additional search fees were timely paid by the applicant. Consequently, this international search report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.:

Remark on Protest

- ☐ The additional search fees were accompanied by the applicant's protest.
- ☐ No protest accompanied the payment of additional search fees.

INTERNATIONAL SEARCH REPORT

Information on patent family members

Int. Application No

PCT/US 95/08567

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
EP-A-0394111	24-10-90	FR-A- 2645866	19-10-90
		CA-A- 2014518	17-10-90
		FR-A- 2646161	26-10-90
		IL-A- 94077	29-12-94
		JP-A- 2292246	03-12-90
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		JP-A- 2076810	16-03-90
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WO-A-9305162	18-03-93	US-A- 5283185	01-02-94
		AU-A- 2656592	05-04-93
		CA-A- 2116676	18-03-93
		EP-A- 0663013	19-07-95
		JP-T- 7500963	02-02-95
WO-A-9405624	17-03-94	US-A- 5334761	02-08-94
		EP-A- 0656883	14-06-95